MINC STOCKBROKING is the trading name of
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Client Profile Assessment

This client profile assessment is for the purpose of obtaining information about your circumstances in order to provide you with advice that is suitable for your needs and objectives. If you do not provide the requested information the advice may not be appropriate for your circumstances.

We recognise that you are under no obligation to provide us with the information requested and fully respect your right to your privacy.

If you choose not to provide all the information requested, our advice may not be entirely compatible or suitable for your circumstances and is provided on a "limited advice basis" or a "no advice basis".

ENTITY

Entity Name: ______________________________

Designation: ______________________________

Attitude to Risk:

❑ Low risk ❑ Med Risk/moderate ❑ High risk/Aggressive ❑ Speculative ❑ None

Account Type: **(Please nominate which account this profile applies to)**

❑ Individual	❑ Superannuation	❑ Company
❑ Joint	❑ Trust	❑ Other

Investment objectives

	Primary	Secondary	Interested
Capital Preservation	❑	❑	❑
Income	❑	❑	❑
Balanced	❑	❑	❑
Capital Growth	❑	❑	❑
Aggressive growth	❑	❑	❑
Trading	❑	❑	❑
Speculative investments	❑	❑	❑
Leveraged income or growth	❑	❑	❑

FINANCIAL SITUATION

Expected year of retirement ____________

Basis of Employment

❑ Permanent ❑ Casual/Part-time ❑ Self Employed ❑ Retired ❑ Home Duties

Sole family income earner ❑ yes ❑ no

Primary Source of income

❑ Business ❑ Salary ❑ Investments ❑ Retirement Assets ❑ Pension

Current Securities Investments

Approximate value of securities invested $___________________

Approximate % that the portfolio represents of your total net worth: ___________________%

Valuation date ______________________

Current reliance on investment income

❑ Entirely ❑ substantially ❑ partially ❑ not at all

Income Bracket (if joint account, please combine)

- ❑ $0 - $50,000
- ❑ $50,000 - $100,000
- ❑ $100,000 - $250,000
- ❑ $250,000 +

Superannuation Investments held

❑ none ❑ commonwealth/state/municipal
❑ SMSF ❑ employer sponsored/corporate

Future reliance on investment income

❑ Currently reliant ❑ Less than 2 years ❑ 2 – 4 years ❑ 5 – 7 years ❑ more than 7 years

Gearing

______________ % of your portfolio that is geared

Expenses

Average monthly expenses $ __________

Past Investments

	Extensive	Moderate	Limited	None
Fixed interest	❑	❑	❑	❑
Property trusts	❑	❑	❑	❑
Managed funds	❑	❑	❑	❑
Australian equities	❑	❑	❑	❑
International equities	❑	❑	❑	❑
Warrants/options	❑	❑	❑	❑
Margin lending	❑	❑	❑	❑

Investment timeframe

❑ 0-18 mths ❑ 18 mths -3 years ❑ 3 - 5 years ❑ 5 - 7 years ❑ more than 7 years

ASSETS/ LIABILITIES (if joint account, please combine)

Assets

$____________________

Liabilities

$ ____________________

PARTICULAR NEEDS

Ultimate Use for portfolio (tick as applicable)

- ❑ Fund Retirement
- ❑ Comprise an estate for the benefit of my dependants
- ❑ Fund the acquisition of a house or large capital asset
- ❑ Be an emergency source of funds
- ❑ Some other purpose
- ❑ Long Term Preservation of Assets
- ❑ Educated my dependants of fund special
- ❑ Invest in a business
- ❑ Supplement my income

Investment Return Preferences (please tick one)

- ❑ Income from high yielding securities without capital gain objectives
- ❑ Income and capital gain
- ❑ Capital gain from low yielding growth securities
- ❑ Trading for short term capital gain without yield objective

Investment Interests

❑ Industrials	❑ Resources	❑ Blue chip	❑ Small cap.
❑ Property trusts	❑ Managed funds	❑ Margin Lending	❑ Franked dividends
❑ CFD's	❑ Options	❑ Warrants	❑ Speculative trading
❑ Initial Public Offerings	❑ Seminars	❑ Portfolio Management	❑ Savings strategies
❑ International	❑ Self managed Super fund		

Any other information which may impact on your financial circumstances or objectives?

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Signature(s): ____________________________ ____________________________

Name(s): ____________________________ ____________________________

Titles (if Coy): ____________________________ ____________________________

Date: ____________________

Office Use Only

A/C Number: Advisor Code:

Brokerage Scale: