



## YOUR CIRCUMSTANCES

**What was your occupation at the time you received the advice?**

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**Please confirm which of the following assets you held at the time you received the advised and the amount held for each asset**

|                               |         |
|-------------------------------|---------|
| Cash / Savings                | £ ..... |
| PEP/ ISA                      | £ ..... |
| Investment Bonds              | £ ..... |
| Unit Trusts                   | £ ..... |
| Main Market/ Blue Chip Shares | £ ..... |
| AIM/ Smaller Company Shares   | £ ..... |
| Unlisted Shares               | £ ..... |
| CFD/ Derivative               | £ ..... |
| Property                      | £ ..... |
| Pension                       | £ ..... |
| Unregulated Investments       | £ ..... |
|                               | £ ..... |

**Please specify any total outstanding mortgage balance(s) at the time you received the advice.**

£ .....

**Excluding mortgages, please confirm the total of any other borrowings you had at the time of dealing with the firm.**  
*(For example, credit card balances, bank loans, overdrafts)*

£ .....

**Are you taking any legal action against the Firm or any connected party?** Yes / No

**Do you owe any money or have any other form of debt to the Firm?** Yes / No

**Have you ever been declared bankrupt or ever entered into a Trust Deed, Individual Voluntary Agreement (IVA), Equestrian or Debt Relief Order?** Yes / No  
*(If so, we will need to see documentation)*

**Have you ever been a director of the firm?** Yes / No

**Have you or your employer ever been authorised by the Financial Conduct Authority (FCA), the Prudential Regulation Authority (PRA) or any other financial services regulator, to conduct a regulated activity?** Yes / No

**Have you ever been classified by an authorised firm as being an 'Intermediate' or 'Professional' customer/ investor?** Yes / No