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## INITIAL CLIENT FACT FIND

Client Name: \_\_\_\_\_

Thank you for selecting Humphrey Partners to discuss your financial planning goals and objectives. To offer you effective and thoughtful advice, we need some information from you. We understand that these documents may be personal, and you may hesitate to share them. If that's the case, please feel free to wait until you feel comfortable providing the information. **Additionally, we kindly ask that you do not send any confidential documents via email. Instead, please consult with a member of our team to determine the best method for submitting your documents.**

### General

- Driver's licence and/or passport;
- Home and postal address (if not provided on your driver's licence);
- Name and date of birth of your children/dependants;
- Please complete the goals and objectives questionnaire at the bottom of this form;
- Contact details including mobile numbers, home number and email addresses.

### Employment

- 2 recent consecutive pay slips, details of employee share schemes, current employment contract; and/or
- If you are self-employed, recent management accounts and the latest tax return with financial statements.

### Family/Holiday Home

- Current valuation, owner (e.g. tenants in common, joint tenants, trust name etc), date of purchase, purchase price;
- If the family home has been previously rented out the dates of when this occurred;
- Recent bank loan statement – ensure it includes the interest rate, owner, repayment amounts, if fixed interest when the term expires, the lender, drawdown limits etc.

### Investments

- Valuations, owner, purchase dates and purchase price;
- If an investment is sold in the current financial year: net sale proceeds, owner, purchase dates and purchase price;
- Recent bank loan statement of any investment loans – ensure it includes the interest rate, owner, repayment amount, if fixed interest when the term expires, the lender, drawdown limits etc.

CPA Practitioner:

Humphrey Partners Pty Ltd  
is a CPA Practice*Humphrey Partners is a Corporate Authorised Representative (No. 328517) of Radius Wealth Pty Ltd AFSL 530266*

### **Superannuation**

- Latest superannuation member statement(s) – ensure it includes the fund balance, risk profile and/or the underlying investments, insurances (type, sums insured, premium etc), death benefit nominations, tax free and taxable components, preservation components, etc; and/or
- If you have a SMSF the latest tax return with financial statements, trust deed and investment strategy.

### **Personal risk insurances (Life, TPD, Trauma, Income Protection and Business Expenses Insurance)**

- Latest policy renewal statement(s). In particular we require: sums insured, premium, type of cover, any exclusions, additional policy benefits, waiting & benefit periods, level or stepped premiums, etc.

### **Estate Planning:**

- Will;
- Enduring Power of Attorney; and
- If you are a joint business owner the buy/sell agreement.

### **Any Other Information**

Please feel free to provide any other information or documentation relevant to your circumstances.

### **Financial Goals and Objectives Questionnaire**

Why do you feel you need to see a financial adviser?

What is important to you over the next 2 years?

What is important to you over the longer term in, say, 2-5 years from now?

What is important to you over the longer term in, say, 10 years from now?

Please indicate whether these objectives are important to you for your situation, where 1 is low and 5 is high:

- Provision of income in retirement .....
- Personal insurance cover against death and/or permanent or temporary incapacity .....
- Provide an inheritance for your dependents.....
- Providing for your children's education.....
- Ethical or socially responsible investing .....
- Ease of investment management .....
- Major expenditure for example, holiday, new car, renovations .....
- Financial coaching – how to budget, save and invest .....
- Investment advice pertaining to professional managed investments .....
- Investment advice pertaining to direct property.....
- Borrowing to invest strategies.....
- Review of existing investments.....
- Managing your debts – such as credit cards, loans or mortgages .....
- Advice on redundancy and leaving service benefits.....
- What to do with inheritance .....
- Social security benefits .....
- Self Managed Super Fund Advice (SMSF) .....
- Salary packaging and superannuation salary sacrificing.....
- Tax minimisation .....
- Asset protection against potential creditors .....
- Binding Financial Agreement – the Australia version of the American 'pre-nup'.....
- An ongoing relationship with a financial adviser .....

Other (please specify):

### **Privacy Policy**

We subscribe to the Australian Privacy Principles. A copy of our firm's Policy is available from our website: <https://radiuswealth.com.au/privacy-statement/>

As a financial service provider, we have an obligation under the *Anti-Money Laundering and Counter Terrorism Financing Act 2006 (Cth)* to verify your identity and the source of any funds. This is why we ask you to present identification documents such as passports and driver's licences. We will also retain copies of this information. We assure you that this information will be held securely.