

# INVESTMENT PROFILE FOR COMPLEX INSTRUMENTS

This form must be completed if you wish to trade in complex instruments.

Account Number         Account Name \_\_\_\_\_

Where you propose to trade in complex instruments we are required to consider information that you provide regarding your knowledge and experience of investing and to take that information into account in assessing whether the investment product envisaged is appropriate for you. This includes trading in unlisted shares (grey market), warrants, futures and options, certain investment trusts, unit trusts, mutual funds, private equity and alternative investments.

1. (i) How would you describe your knowledge and understanding of investments?

- Limited**  
 Little prior experience of investments having mainly held money on deposit until now; limited knowledge of investments and the relationship between returns and risk.
- Good**  
 Some knowledge and experience of investments; understand the different investment types and that the investments that offer higher returns generally bring higher risks.
- Informed**  
 Knowledge and experience of a broad range of investment types and their risks having actively invested in them over a period of time; or have worked in the financial sector.

Please give details \_\_\_\_\_

(ii) Please give us details of the investments you have made in the last 12 months

(excluding details of investments made where you have received financial advice).

	Yes/No	Frequency <small>(e.g. daily, weekly, monthly, etc.)</small>		Amount
Equities	<input type="radio"/> Yes <input type="radio"/> No	_____	_____	_____
Bonds	<input type="radio"/> Yes <input type="radio"/> No	_____	_____	_____
Collective Investment Schemes <small>(incl. UCITs)</small>	<input type="radio"/> Yes <input type="radio"/> No	_____	_____	_____
Alternative <small>(incl. private equity, non-UCITs)</small>	<input type="radio"/> Yes <input type="radio"/> No	_____	_____	_____
Derivatives	<input type="radio"/> Yes <input type="radio"/> No	_____	_____	_____

Do you currently consult with a professional advisor for investment advice?  Yes  No  
(if yes, please give details)

Advisor Name \_\_\_\_\_ Relationship \_\_\_\_\_

Advisor Address \_\_\_\_\_

2. Do you hold any relevant investment qualifications or are you a member of a professional body?  Yes  No  
(if yes, please give details)

3. Do you currently work in the financial services sector or have you previously for at least one year?  Yes  No  
(if yes, please give details)