

David F. Hook



Insurance Brokers & Independent Financial Advisers

David F. Hook Independent Financial Advisers can provide advice. Whether you are planning to invest a sum of money or simply reviewing your existing investment strategy, you may find our help invaluable. Our advice is free, and you are under no obligation to follow it. After studying the information you have supplied we will contact you with our comments and recommendations. Occasionally we may ask you for clarification on some points prior to offering advice. This form may take you a few minutes to complete fully, but the more information you can give us about your circumstances and what you want your investments to do for you, the more appropriate our comments will be.

1) FINANCIAL OBJECTIVES

	Self	Partner
Provision for Retirement	Yes / No	Yes / No
Inheritance Tax Planning	Yes / No	Yes / No
Lump Sum Investments	Yes / No	Yes / No
Annuities	Yes / No	Yes / No
Investment for Income	Yes / No	Yes / No
Investment for Growth	Yes / No	Yes / No
Investment for Children	Yes / No	Yes / No
Regular Saving	Yes / No	Yes / No
Other	Please specify below	Please specify below

2) PERSONAL DETAILS

	Self	Partner
Title	Mr / Mrs / Miss / Ms / Dr	Mr / Mrs / Miss / Ms / Dr
Surname		
Forenames		
Marital Status	Single / Married / Divorced / Widowed	Single / Married / Divorced / Widowed
Smoker	Yes / No	Yes / No
Sex	Male / Female	Male / Female
Are you in good health	Yes / No	Yes / No
UK Resident for Tax	Yes / No	Yes / No
Date of Birth		
Address		
Postcode		
Telephone Home		
Telephone Work		
Email Address		

3) CAPITAL

	Self	Partner
Principal Residence	£	£
Contents / Valuables / Cars	£	£
Other Properties	£	£
Gilts	£	£
Shares	£	£
Unit Trusts	£	£
ISA's	£	£
PEP's	£	£
TESSA's	£	£
Bank, Building Soc Accounts	£	£
National Savings	£	£
Investment Bonds	£	£
Other Assets	£	£
Misc	£	£
Total	£	£

4) LIFE ASSURANCE

	Self	Partner
Do you have Life Assurance	Yes / No	Yes / No
Sum Assured	£	£
End Date	___/___/___	___/___/___
Premium	£	£
Which Company is it with		
Type	Term / Whole of Life	Term / Whole of Life
Other		
Is it in Trust	Yes / No	Yes / No
Do you have a will	Yes / No	Yes / No

5) PENSION PROVISION

	Self	Partner
Are you paying into a pension	Yes / No	Yes / No
What type is it	Company / AVC-FSAVC / Personal	Company / AVC-FSAVC / Personal
How much do you contribute	£ or %	£ or %
What age do you intend to retire		
Do you have preserved benefits	Yes / No	Yes / No
If yes, please provide details below		

6) FINANCIAL DEPENDANTS

Name	Relationship	Date of Birth

7) INCOME / OUTGOINGS

Income	Self	Partner
Occupation (Job Title)		
Employers Name		
Employment Status		
Earned / Pension Income	£	£
Dividend Income	£	£
Bank / B. Society Income	£	£
Rental Income	£	£
Trust Income	£	£
Total Annual Income	£	£
Highest rate of tax payable	10 / 22 / 40	10 / 22 / 40
Outgoings		
Mortgage / Rent	£	£
Household Expenses	£	£
Insurances / Pension	£	£
Cars	£	£
Food / Clothing	£	£
HP / Loans	£	£
Miscellaneous	£	£
Total Outgoings	£	£

8) LIABILITIES

	Self	Partner
Mortgage		
Amount Outstanding	£	£
Start Date	___/___/___	___/___/___
End Date	___/___/___	___/___/___
Type	Repayment / Pension / Endowment / Other	Other / Please state _____
Lender		
Monthly Mortgage Payment	£	£
Other Loans	Yes / No	Yes / No
Please give details		

9) ATTITUDE TO RISK

To assist us in understanding your attitude to the future investment of your money please refer to the guide below. Please remember to take into account both flexibility and access. Where you have a different attitude for different types of investment please give details, eg. you may have a more adventurous attitude to a lump sum investment than for your retirement planning.

	Risk Factor	Investment
A Cautious investment will usually be deposit based and is designed to provide a rate of growth with little or no risk to capital. Because of this the potential return on your investment may be limited. However inflation could cause the value of your investment to decrease in real terms.	1 2 3	Bank Current Account National Savings Deposit funds / Tessa
A Balanced investment will usually be asset backed and may include a spread of investments to reduce the overall level of risk. In the short term it is likely the value of such investment will fluctuate. Historically, over the longer term ie 5 years + the return from Balanced investments has been greater than that for gained from cautious investments.	4 5	Managed / With Profit Funds Specialist Insurance Funds Unit Trust ISA's
An Adventurous investment is usually asset- backed and invested in a restricted portfolio of stocks and shares. The potential rewards are higher than those gained from Balanced investments but there may be a high potential risk to capital.	6 7 8	Specialist Unit Trusts Direct equities Commodity Futures

Attitude to Risk	Self	Partner
Short term (-5 years)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8
Medium term (5 to 10 years)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8
Long term (above 10 years)	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8	1 / 2 / 3 / 4 / 5 / 6 / 7 / 8

Your Investment objective is to **Seek Capital Growth / Provide Income / Capital Growth & Income**

Have you used this year's ISA allowance Yes / No Maxi or Mini _____

10) Other Information

Please set out below any other information which you feel may be relevant. If there is insufficient space please continue on a separate sheet.

I confirm I have read and received a copy of your Terms of Business

Signed _____ Date _____

Partner _____ Date _____

Please return this form to
David F. Hook Independent Financial Advisers
Rigton Croft
Scarsdale Lane
Bardsey
Leeds
LS17 9BH