



Client Discovery – Let's Begin.

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## **Our Promise to You.**

**Your privacy is particularly important to us.**

**Discretion and dedication are our assurance, on every step of the journey.**

*To help us provide you with accurate, reliable, and tailored financial advice we do need to gather some detailed information about your personal circumstances and financial position. This will allow us to assess and provide bespoke advice and recommendations specific to you, that will help you to achieve your personal objectives, hopes and dreams for the future.*

*As professionals, Hewison Private Wealth is committed to the protection of your personal information and treat all aspects of this with great care and confidentiality.*

*We give you our assurance that we will always treat this information with absolute discretion in accordance with our Privacy Policy and current privacy laws.*





# Objectives & Financial Priorities

## What are your objectives & financial priorities?

Example: Grow Wealth, Reduce Debt, Transition & Plan for Retirement, Fund School Fees, Fund Travel, Budget & Savings Plan, Assist children and/or grandchildren, Establish SMSF, Invest & Protect Funds.

Objective / Priority	Timing (years)	Amount Required

## Financial Goals

These are more specific goals you wish to achieve from current or potential financial strategies. It is the attainment of these goals that will enable you to achieve your lifestyle objectives. **Please tick all that apply to you.**

- ☐ Generate an annual income of \$  in retirement to fund living expenses.
- ☐ Build wealth and accumulate assets tax-effectively for retirement.
- ☐ Build wealth (other than for retirement) tax-effectively.
- ☐ Review your current investments to determine if they are aligned to your goals. Diversify your assets across a broader range of investments.



- ☐ Have more control over and have a better understanding of your investments.
- ☐ Manage your income and cash flow to improve your financial position.
- ☐ Secure your standard of living in retirement by producing a stable income.
- ☐ Protect yourself and/or your family in case of illness, accident or death.
- ☐ Provide for your beneficiaries in a secure and tax effective way.
- ☐ Save for a short-term goal (e.g. home deposit, overseas holiday).
- ☐ Ensure your mortgage is paid off by retirement.
- ☐ Consider ways to manage your investments and professional assistance.

Achieve total financial independence by year

Client 1: I anticipate retiring at age:  Client 2: I anticipate retiring at age:

**Tell us more about these goals.**

**What specifically would you like to cover during our first meeting?**



## Personal Details

	Client 1	Client 2
Title (Mr, Mrs, Ms, Miss, Dr, Other)		
Given Names		
Surname		
Date of Birth		
Current Age		
Place of Birth		
<b>Residence Status</b> Australian Citizen / Permanent Resident / Temporary Resident / Special Category Visa (SCV) Holder / Special Purpose Visa (SPV) Holder / Foreign Resident		
<b>Other Citizenship(s)</b> If you hold any citizenships other than Australian please list them here		
Marital Status		
<b>Home Address</b> (Include Street Name, Suburb/Town, State, Postcode)		
<b>Postal Address</b> (If different to home address)		
Home Phone		
Work Phone		
Mobile Phone		
Email Address		

## Details of Children/Dependents

	Name	DOB	Age	Dependent	Dependent to what age?
Child 1				<input type="checkbox"/> YES <input type="checkbox"/> NO	
Child 2				<input type="checkbox"/> YES <input type="checkbox"/> NO	
Child 3				<input type="checkbox"/> YES <input type="checkbox"/> NO	
Child 4				<input type="checkbox"/> YES <input type="checkbox"/> NO	



## Employment Details

**Client 1** (please select) ☐ Full Time ☐ Part Time ☐ Contract/Casual ☐ Self-Employed ☐ No longer working

Employer Name		Position/Title	
Current Salary Package			
Time in Position		Retirement Age (If applicable)	

**Client 2** (please select) ☐ Full Time ☐ Part Time ☐ Contract/Casual ☐ Self-Employed ☐ No longer working

Employer Name		Position/Title	
Current Salary Package			
Time in Position		Retirement Age (If applicable)	

Do you expect any substantial changes to your income in the next two to five years? If yes, please provide us with a little more detail:

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## Income Details

	Client 1	Client 2
Salary ( <i>Gross</i> )		
Bonus/Profit Share		
Rental Income		
Investment Income		
Centrelink /DVA Income Social Security		
Super/Annuity Income		
Other Income		
<b>Total Income</b>	<b>\$</b>	<b>\$</b>

**Total Living Expenses: \$**

Net income combined:

<b>Income</b>	<b>\$</b>	<b>Expenses</b>	<b>\$</b>	<b>Surplus</b>	<b>\$</b>
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## Superannuation Details

Superannuation Fund	Member Client 1/Client 2	Current Value
		\$
		\$
		\$
		\$

To the best of your knowledge, have you made any lump sum contributions to superannuation in the last three years?

YES ☐ NO ☐

If yes, what was the amount? \$

## Insurance Details (*Life & TPD/Trauma/Income Protection*)

Policy Type	Policy Owner Client 1/Client 2	Insurer	Benefit	Annual Premium
				\$
				\$
				\$
				\$
				\$



## Other Insurance *(please select all that apply)*

Home & Contents	<input type="checkbox"/>	Income Protection	<input type="checkbox"/>
Motor Vehicle	<input type="checkbox"/>	Personal Indemnity	<input type="checkbox"/>
Business / Key Person	<input type="checkbox"/>	Mortgage	<input type="checkbox"/>
Private Health	<input type="checkbox"/>	Other	<input type="checkbox"/>

## Health Details

	Client 1	Client 2
State of Health <i>good/reasonable/poor</i>		
Have you smoked in the last 5 years?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Do you have Private Health Insurance?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO

## What's important to you?

What are your financial priorities?	YES	NO
Is growing the value of your assets important to you?		
Is the reliable generation of income important to you?		
Is leaving assets to your beneficiaries important to you?		
Is the tax efficiency of your affairs important to you?		
Do you understand these financial concepts?	YES	NO
Inflation is the rate prices that increase each year.		
Income investments like term deposits earn interest however, the capital value decreases due to inflation.		
Growth assets like real estate and shares grow in value over time, however, sometimes decrease in value in the short term due to market fluctuation.?		
When investment markets fluctuate, it is referred to as market volatility. Volatility does not mean you lose money.		



Assets				Liabilities				
Description	Current Value (\$)	Owner (Client 1 /Client 2/Joint)	Purchase Value (\$)	Owing (\$)	Lender	Rate %	Frequency weekly/ fortnightly /Monthly	Fixed/ Variable
Property								
Family Home	\$		\$	\$				
Investment Property 1	\$		\$	\$				
Investment Property 2	\$		\$	\$				
Other								
Savings/Investments								
Cash on deposit	\$		\$	\$				
Shares	\$		\$	\$				
Managed Funds	\$		\$	\$				
Fixed Interest	\$		\$	\$				
Other								
Business Interest								
Tax Liability	\$		\$	\$				
Company Investments	\$		\$	\$				
Other	\$		\$	\$				
Personal								
Car	\$		\$	\$				
Credit Cards	\$		\$	\$				
Home Contents	\$		\$	\$				
Other	\$		\$	\$				
International								
Cash on Deposit	\$		\$	\$				
Property	\$		\$	\$				
Shares	\$		\$	\$				
<b>Total</b>	<b>\$</b>		<b>\$</b>	<b>\$</b>				



# Investor Profile

1. How long are you willing to invest your money to achieve your financial goals?

☐ 1 – 3 years    ☐ 3 – 5 years    ☐ 5 – 10 years    ☐ 10+

2. Do you expect to require any capital withdrawal from your investment?

YES/ NO, When?

3. Over the time frame of your investment, what annual % return would you expect?

☐ 1 - 5    ☐ 5-7    ☐ 7-10    ☐ 10-15    ☐ 15+

4. Growth Markets, such as shares, and property can fall in value sharply. Sometimes, by around 30% in a single year. Over the longer term however, they are expected to grow in value. Knowing this:

a) How would you feel if a portion of your investment portfolio fell temporarily?

b) Are you comfortable investing in these asset classes?

5. In a falling market, are you likely to want to buy or sell assets?

6. Please share your investing experience. Have you invested in:

- |                        |                              |                             |
|------------------------|------------------------------|-----------------------------|
| • Australian Shares    | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| • International Shares | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| • Property             | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| • Fixed Income         | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

7. Assuming you have had some investing experience, please describe your best and worst investing experience:

8. Have you had a financial planner previously? If so, please detail your experience:



## Estate Planning Details

	Client 1	Client 2
Do you have a Will?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Date your Will was reviewed	/ /	/ /
Who are your main beneficiaries?		
Are there provisions for a Testamentary Trust?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Have you made any provisions for any bequests?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Are you likely to receive an inheritance in the next 10 years?	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
Power of Attorney (POA/EPOA)	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO

## Current Professional Advisers

Accountant		
	State	Postcode
	Phone:	
	Email:	
Solicitor		
	State	Postcode
	Phone:	
	Email:	
Other		
	State	Postcode
	Phone:	
	Email:	



# Authorisation & Confirmations

- ☐ I/We confirm that to the best of my/our knowledge the information recorded in this data collection form is a complete and accurate record of my/our financial situation and particular needs.
- ☐ I/We consent to Hewison Private Wealth providing advice and documentation to me/us via email to me /our nominated email address or via Hewison's website [www.hewison.com.au](http://www.hewison.com.au). This includes Statements of Advice, Financial Services Guides, Product Disclosure Statements and Periodic Statements.
- ☐ I/We have received and read Hewison's Financial Services Guide.
- ☐ I/We have received and read Hewison's Privacy Statement.
- ☐ I/We consent to Hewison collecting sensitive information about us/me for the purposes of Hewison providing services to me.
- ☐ I/We consent to receive promotional material such as weekly E-news from Hewison Private Wealth to provide me/us with insights and updates. I/We understand that I/we can unsubscribe at any time by clicking "unsubscribe" in any email or by emailing [info@hewison.com.au](mailto:info@hewison.com.au). Unsubscribe requests will be processed within 5 business days. All communications will include Hewison's contact details.
- ☐ I/We consent to using electronic signatures for documents related to my/our engagement with Hewison Private Wealth. I/We understand that electronic signatures are legally binding and equivalent to handwritten signatures.

**Client 1**

**Client 2**

Signature: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

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# Privacy Statement

Hewison & Associates Pty Ltd (ABN 51 009 082 257) (referred to as 'Hewison Private Wealth', 'we', 'our', 'us') will be collecting your personal information when you complete this form. We are committed to ensuring the confidentiality and security of your personal information. You can contact us by telephoning 03 8548 4800 or emailing [info@hewison.com.au](mailto:info@hewison.com.au).

If you do not provide the personal information we request, we may elect to terminate our retainer with you if we believe we are unable to provide you with a complete service.

We collect personal information about you for the following purposes:

- to assist Hewison Private Wealth in providing the financial services you request, including preparing your financial plan, providing financial advice, reviewing financial plans and investment recommendations, and administering your financial affairs.
- to complete documentation and forms.
- to consider and assess your request for a product or service.
- to provide you with information about a product or service.
- to protect our business and other clients from fraudulent or unlawful activity.
- to conduct our business and perform other management and administration tasks;
- to consider any concerns or complaints you may have.
- to manage any legal actions involving Hewison Private Wealth.
- to comply with relevant laws, regulations and other legal obligations, including the *Corporations Act 2001*, *Anti-Money Laundering and Counter-Terrorist Financing Act 2006*, and Rules of Professional Conduct of the Financial Planning Association of Australia; and
- to help us improve the financial services offered to our customers, and to enhance our overall business.

We may disclose your personal information to:

- a related entity of Hewison Private Wealth.
- an agent, contractor or service provider we engage to carry out our functions and activities, such as our lawyers, accountants, debt collectors or other advisors;
- professional external auditors.
- organisations involved in a transfer or sale of all or part of our assets or business (individuals will be advised of any such transfer or sale);
- organisations involved in managing payments, including payment merchants and other financial institutions such as banks;
- regulatory bodies, government agencies, law enforcement bodies and courts, including the Financial Planning Association of Australia and the Australian Securities and Investments Commission;
- superannuation fund trustees.
- insurance providers.
- other financial product issuers; and
- anyone else to whom you authorise us to disclose it or is required by law.

Disclosure of personal information overseas

- All reasonable steps will be taken to ensure that any offshore service providers comply with the Privacy Act.

Our Privacy Policy (available at [www.hewison.com.au](http://www.hewison.com.au)) contains information about how:

- you may access the personal information we hold about you.
- you may seek the correction of your personal information; and
- to make a privacy complaint and how we will deal with your complaint.