COMPANY PROFILE

Other documents to be read in conjunction with this form:
General Terms & Conditions **Financial Services Guide (FSG)**

Account Name ____

Account Designation < ____ >

COMPANY DETAILS *MANDATORY

Name of Company ____

ACN ______________ **Country in which company incorporated** ______________

Registered Office Address ____

Suburb ______________________________________ **State** ______ **Postcode** ________

Principal Place of Business ____

Suburb ______________________________________ **State** ______ **Postcode** ________

Mailing Address ____

Suburb ______________________________________ **State** ______ **Postcode** ________

CONTACT DETAILS *MANDATORY

Business ( ) ______________________ **Fax ( )** ______________________

E-mail ____

DIRECTOR DETAILS *MANDATORY

Please list all directors

Name ____

Street Address ____

Suburb ______________________________________ **State** _______ **Postcode** _________

Name ____

Street Address ____

Suburb ______________________________________ **State** _______ **Postcode** _________

Name ____

Street Address ____

Suburb ______________________________________ **State** _______ **Postcode** _________

Name ____

Street Address ____

Suburb ____**State** _______ **Postcode** _________

SUBSTANTIAL SHAREHOLDER (anyone who owns more than 25% of the company)

Name ____

Street Address ____

Suburb ____**State** _______ **Postcode** _________

Name ____

Street Address ____

Suburb ____**State** _______ **Postcode** _________

BASIS OF ADVICE *MANDATORY

Investment Experience and Risk Profile

Investment Knowledge *(Please tick a box in one column against each type of investment)*

Knowledge Level	Experienced Trader	Confident Investor	Less than 5 years experience	Less than 12 months experience	Never Invested	Comments
Equities	☐	☐	☐	☐	☐	
Derivatives	☐	☐	☐	☐	☐	
Fixed Income	☐	☐	☐	☐	☐	
Managed Funds	☐	☐	☐	☐	☐	

Attitude to Investment Risk

Please also refer to the General Terms and Conditions, Section 4 'Risks and Constraints' for further explanation of Risks.

How would you describe your investment strategy and attitude to risk? *Please tick **one only**.*

☐ Defensive Investor	A Defensive portfolio is suitable for investors seeking a "risk free" investment. You are prepared to accept lower returns to preserve capital. The adverse effects of tax and inflation are not a concern, provided the initial investment is protected. Investments in the share market are rarely suitable for defensive investors, unless capital-protected.
☐ Income Investor	The Income Investor is seeking better than "risk free" returns with relatively low risk over a medium time frame. You are willing to accept exposure to less aggressive growth investments looking for yield from your investments with capital growth as a secondary consideration.
☐ Balanced Investor	The Balanced Investor is seeking a portfolio of investments providing both yield and capital growth to meet medium to long term financial goals. Calculated risks are acceptable to achieve greater returns.
☐ Growth Investor	The Growth Investor invests for capital growth over the medium to long term. You are willing to accept more risk, and are prepared to include short term investments with higher volatility and the potential for capital loss in your investment strategy.
☐ Aggressive Investor	The Aggressive Investor is comfortable with speculative investments which could involve the loss of a substantial proportion of capital. You are prepared to risk your investment capital in pursuit of superior investment returns. You have a strong understanding of the behaviour of investment markets, and the associated risks.

Products - do you have an interest in particular types of investments? *Please tick relevant products.*

☐ Blue Chip	☐ New Floats	☐ Technology / IT
☐ Industrials	☐ ETOs	☐ Warrants

☐ Resources	☐ Property Trusts	☐ Other ____________________

Financial services - do you have an interest in particular types of services? *Please tick .*

☐ Portfolio Management & Reporting	☐ Financial Planning	☐ Superannuation & Retirement Planning
☐ Tax Effective Strategies	☐ Margin Lending	☐ Other ____________________________

Are there any investments that you wish to avoid? **Yes / No**

If "Yes" please provide specific details: ____

____

Financial and Investment Objectives

Do you have special investment objectives in mind?

____

____

STATEMENT OF FINANCIAL POSITION

Assets	$	Liabilities	$
Cash (inc. term deposits)		Mortgage	
Own Home		Investment property loan	
Investment property		Personal loan	
Investment securities		Tax	
Superannuation		Other	
Other		Total Liabilities	
Less Total Liabilities		Do you expect this to change significantly?	
NET WORTH =	$	Yes / No	
Income $		Expenditure $	
Do you expect any significant changes in income or expenditure? If so, when? ________ Why? ______________________________			

Is there anything you wish to add or any additional information Alto Capital should take into consideration regarding your financial situation or investment objectives?

____

____

WARNING:

When providing Personal Advice, your adviser is required to consider your investment objectives, financial situation and risk profile. If you choose not to provide any or all of the information requested above, there may be limitations as to the appropriateness of any recommendation given to you. You will need to consider whether each recommendation we make is appropriate for you in the light of your own particular circumstances and needs.

Please also refer to the attached General Terms and Conditions, section 8 'Advisory Services' for an expanded explanation of Personal Advice.

Before Returning the Application please ensure you have completed the following and attached all required documentation. Please tick one of the following:

I/We

- [ ] Have completed a Statement of Financial Position to assist in the preparation of financial product advice.

or

- [ ] Have chosen not to provide any personal financial information to you and acknowledge that there will be limitations as to the appropriateness of any advice given.

By signing below you are declaring that you:

- Have read and understood the General Terms and Conditions.
- Have received Alto Capital's Financial Services Guide
- Have provided required proof of identity for all names on the account and any nominated third parties.
- Have read and understood the Warning on page 3, concerning providing limited information.
- Warrant that the information provided in this profile is true and correct and Alto Capital can rely on this information when considering financial advice suitable for you.
- Will inform Alto Capital if and when any material changes occur to the information you provide.

Signature (Director 1)	**Name**	**Date**
Signature (Director 2 or Company Secretary)	**Name**	**Date**