Client investment recommendation request

RATHBONES | Incorporating Investec Wealth & Investment (UK)

VISION | IFP

I understand that Investec Wealth & Investment will create their Client Investment Recommendations, including their suitability statement, based upon the below information for my client(s), including the proposed mandate which I have deemed as suitable for their specific circumstances and needs using the current Know Your Client (KYC), Attitude to Risk and Capacity for Loss information held for the below client.

Client details

1.1	Full client(s) name(s)	Title and full name(s)
1.2	Residential address	Residential address/postcode
1.3	Date(s) of birth	Date(s) of birth (dd/mm/yyyy)
1.4	Marginal tax rate	Marginal tax rate
1.5	Employment status	Employment status
1.6	Any other relevant information	Any other relevant information

Investment details

1.7	Amount of investment:	Cash	Stock
1.8	Source(s) of funds Please advise from which institution/location funds are expected as well as the particular business activity which generated these funds e.g. salary accumulation, house sale etc.	Source(s) of funds	
1.9	Origins of wealth Please briefly describe the principal sources of the client's overall wealth e.g. type of business activities, company names, industries and jurisdictions involved. If inheritance, confirm from whom and how the original wealth was generated. If a property sale, explain how the original purchase was funded.	Origins of wealth	
1.10	Type of account (e.g. Personal, ISA, Trust, Pension, Offshore Bond, Company or Charity)	Type of account (e.g. personal, ISA, Trust, Pension, Offshore Bond, Company or Charity)	
1.11	Name of product provider (e.g. Life Co re Pensions/Offshore Bond)	Name of product provider	

Continued overleaf.

Client investment recommendation request (continued)

1.12 Level of portfolio risk:
(Please tick as appropriate)

Low ☐ Low/medium ☐ Medium ☐ Medium/high ☐ High ☐

1.13 Investment objective:
(Please tick as appropriate)

Income ☐ Income/ Capital Growth (Balanced) ☐ Capital growth ☐

1.14 Time horizon
(Please tick as appropriate)

1-5 years ☐ 5-10 years ☐ 10 years + ☐

1.15 Defined mandate
(e.g. asset allocation or asset class)

Defined mandate

1.16 Specific client needs or requirements
(e.g. known capital expenditure or income)

Specific client needs or requirements

1.17 Any client preferences or exclusions?

Any client preferences or exclusions?

1.18 Can we utilise CGT allowance

Yes ☐ No ☐

1.19 ISA subscription taken up in current tax year

Yes ☐ No ☐

Adviser Details & Adviser Agreed Remuneration (AAR)

1.20 Adviser name

Adviser name

1.21 Adviser firm

Adviser firm

1.22 Non-recurring AAR: £ or %
(including any VAT that might be applicable)

Non-recurring AAR: £ or %

1.23 Recurring AAR: £ or % per annum
(including any VAT that might be applicable)

Recurring AAR: £ or % per annum

1.24 Vision IFP

Vision IFP

1.25 Vision Investment Portal (VIP)
Note: Vision Investment Portal (VIP) is a trading name of Castle Investment Solutions Ltd.

Vision Investment Portal (VIP)

1.26 Total
(including any VAT that might be applicable)

Total

Belfast	02890 321002	**Cheltenham**	01242 514756	**Guildford**	01483 304707	**Manchester**	0161 832 6868
Birmingham	0121 232 0700	**Edinburgh**	0131 226 5000	**Leeds**	0113 245 4488	**Sheffield**	0114 275 5100
Bournemouth	01202 208100	**Exeter**	01392 204404	**Liverpool**	0151 227 2030		
Bristol	01172 444860	**Glasgow**	0141 333 9323	**London**	020 7597 1234		

investecwin.co.uk

IWI1310 v4 01/24