



## LIMITED ADVICE TRANSACTION

The purpose of this transaction is to apply for (tick one of the options below):

- You have instructed me not to determine the suitability of my Financial Adviser services to your particular circumstances,
- Or**
- You acknowledge that you have chosen not to disclose all the information sought by me and that the suitability of my Financial Adviser services to your circumstances is based only upon that information which you have provided.

Please note the following:

The Advantages of having a suitable analysis are to:

- Give me a full understanding of your personal circumstances, including your financial goals and risk tolerances, allowing me to tailor my advice to your specific needs;
- Provide you with an analysis of your current and future financial situations;
- Determine which financial products may be suitable for your current and future needs and goals;
- Advise you of any gaps in your risk or investment profile

The risks of not having a suitable analysis are that:

- Any advice I give you is based on incomplete information and will therefore be a more general nature;
- A complete financial analysis will not be conducted;
- Financial products that I recommend may be unsuitable for your needs and goals either now or in the future;
- You may commit to products which bear a greater risk than you would otherwise tolerate;
- Possible gaps in your risk or investment profile may not be uncovered

This statement acknowledges the following:

- You waive your rights to a suitable analysis of my Financial Adviser services;
- Or
- You have not provided me with all the information I have requested and that the suitability of my Financial Adviser services to your particular circumstances are based only upon the information that I have received.
- I have not directed or influenced you not to receive a suitable analysis or limit what information you give me
- You accept that you must still disclose all relevant information on any application submitted on your behalf

Please note: that at any time during this process, you can elect to have me conduct a financial analysis

Client Name: ..... Client Signature: .....

Client Name: ..... Client Signature: .....

Adviser: ..... Date: .....