



**PERSONAL PROFILE,
EXPERIENCE & INVESTMENT
PERSONALITY QUESTIONNAIRE**

Everything we need to know about you, your investment experience and personality to provide you with the right support and a wealth strategy tailored for you and only you. There are no right or wrong answers. Just your answers.

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Investment Personality

Rank each of the following 1 through 4, with **4** being the most important to you, **3** being the next most important, followed by **2** as the next most important and **1** being the least important. You should finish with your answers including the numbers 4, 3, 2 and 1 for each question.

| No. | Question | Rank |
|-----|-----------------------------------------------------------------|------|
| 1. | Funding college education for my children and grandchildren (A) | |
| | Achieving my asset accumulation goal (G) | |
| | Having enough money to have the vacation home I want (F) | |
| | Getting enough money to retire early (C) | |

| No. | Question | Rank |
|-----|-------------------------------------------------------------|------|
| 2. | Having a fun time investing (H) | |
| | Learning about the most sophisticated investing methods (I) | |
| | Having enough money to have the power I want (E) | |
| | Being able to maintain my privacy (D) | |

| No. | Question | Rank |
|-----|-------------------------------------------------------------------------------|------|
| 3. | Having someone I trust do my investments, so I do not have to be involved (B) | |
| | Ensuring the security of my family through my investments (A) | |
| | Minimising the risk of identity theft with proper security measures (D) | |
| | Having enough assets invested to be independent (C) | |

| No. | Question | Rank |
|-----|---------------------------------------------------------------------------|------|
| 4.. | Being able to protect the confidentiality of my finances (D) | |
| | Having the assets to buy the things I want (F) | |
| | Being able to focus on the exciting aspects of investing (H) | |
| | Having the luxury of not educating myself on technical financial minutiae | |



| No. | Question | Rank |
|-----|---------------------------------------------------------|------|
| 5. | Having enough assets to feel powerful (E) | |
| | Using the most modern investment approaches (I) | |
| | Using my investments to take care of my family (A) | |
| | Concentrating on increasing the amount of my assets (G) | |

| No. | Question | Rank |
|-----|----------------------------------------------------------------------------------|------|
| 6. | Having the asset base to live wherever I want to (C) | |
| | Having enough assets so that others respect me (F) | |
| | Hiring a top money manager to oversee my account and forgetting all about it (B) | |
| | Maintaining complete privacy over my investment affairs (G) | |

| No. | Question | Rank |
|-----|--------------------------------------------------------------------|------|
| 7. | Finding new ways to keep investing a thrilling part of my life (H) | |
| | Applying the most technical investment approaches (I) | |
| | Having the investment base to get people to do what I want (E) | |
| | Using investment products to transfer assets to family members (A) | |

| No. | Question | Rank |
|-----|----------------------------------------------------------------------|------|
| 8. | Being able to avoid getting involved in the details of investing (B) | |
| | Focusing on increasing my assets (G) | |
| | Having the assets to enjoy the finer things in life (F) | |
| | Ensuring my privacy with the investment managers I choose (D) | |

| No. | Question | Rank |
|-----|---------------------------------------------------------------------------|------|
| 9. | Having advanced planning and products in my investment portfolio (I) | |
| | Being able to use my investments to influence the way things are done (E) | |
| | Having the confidence that I can live independently (C) | |
| | Staying very involved on a day to day basis (H) | |



Personal Assessment

Please answer the following questions.

| No. | Question | Answer | Tick One |
|-----|--------------------------------------------|------------------|----------|
| 1. | Have you moved home in the last 12 months? | Within 6 Months | |
| | | Within 12 Months | |
| | | No | |

| No. | Question | Answer | Tick One |
|-----|------------------------------------------|------------------|----------|
| 2. | Have you divorced in the last 12 months? | Within 6 Months | |
| | | Within 12 Months | |
| | | No | |

| No. | Question | Answer | Tick One |
|-----|-----------------------------------------------------------|------------------|----------|
| 3. | Have you suffered any bereavements in the last 12 months? | Within 6 Months | |
| | | Within 12 Months | |
| | | No | |

| No. | Question | Answer | Tick One |
|-----|-----------------------------------------|------------|----------|
| 4. | What is your current employment status? | Employed | |
| | | Retired | |
| | | Unemployed | |
| | | Contractor | |

| No. | Question | Answer | Tick One |
|-----|-----------------------------|--------|----------|
| 5. | Do you have any dependents? | 1-3 | |
| | | 4-5 | |
| | | 6+ | |
| | | No | |



| No. | Question | Answer | Tick One |
|-----|------------------|------------------|----------|
| 6. | Are you a carer? | 1-3 people | |
| | | 4 or more people | |
| | | No | |

| No. | Question | Answer | Tick One |
|-----|---------------------------------------------------------------------------------|------------------|----------|
| 7. | Have you experienced Bankruptcy or County Court Judgements in the last 5 years? | Within 12 Months | |
| | | Within 5 Years | |
| | | No | |

| No. | Question | Yes | No |
|-----|--------------------------------------------|-----|----|
| 8. | Have you been a victim of Financial Fraud? | | |

| No. | Question | Answer | Tick One |
|-----|--------------------------------------------------------------|------------------|----------|
| 9. | Has your physical health deteriorated in the last 12 months? | Within 6 Months | |
| | | Within 12 Months | |
| | | No | |

| No. | Question | Yes | No |
|-----|--------------------------------------------|-----|----|
| 10. | Do you suffer from any hearing impairment? | | |

| No. | Question | Yes | No |
|-----|-------------------------------------------|-----|----|
| 11. | Do you suffer from any visual impairment? | | |

| No. | Question | Yes | No |
|-----|----------------------------------------|-----|----|
| 12. | Have you suffered from a brain injury? | | |

| No. | Question | Answer | Tick One |
|-----|-------------------------------------------|--------------------------------------|----------|
| 13. | Do you suffer from a mental health issue? | Dementia (or dementia like symptoms) | |
| | | Diagnosed with Mental Ill Health | |
| | | Undiagnosed Mental Ill Health | |
| | | No | |



| No. | Question | Answer | Tick One |
|-----|------------------------------------------------------------|------------------|----------|
| 14. | Have you been subject to safeguarding in the last 5 years? | Within 12 Months | |
| | | Within 5 Years | |
| | | No | |

| No. | Question | Yes | No |
|-----|---------------------------------|-----|----|
| 15. | Is English your first language? | | |

| No. | Question | Yes | No |
|-----|------------------------------|-----|----|
| 16. | Do you suffer from Dyslexia? | | |

| No. | Question | Yes | No |
|-----|--------------------------------------------------------|-----|----|
| 17. | Do you consider yourself to have poor literacy skills? | | |

| No. | Question | Status | Tick One |
|-----|------------------------------------------|--------------------------------|----------|
| 18. | What is your highest level of education? | Post Graduate Degree or Higher | |
| | | Degree or equivalent | |
| | | A Levels or equivalent | |
| | | GCSE or equivalent | |
| | | Less than 3 GCSE's | |



Investor Decision Making

Please indicate how strongly you agree or disagree with the following statements?

| | | | | | | | | | | | | | | | | | | | |
|-------------------|------------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|
| 1. | I would like someone to solve my financial problems. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | |
|-------------------|-----------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|
| 2. | Even if my finances go down, I will handle it well. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | |

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|-------------------|---------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|
| 3. | I often feel helpless when reviewing my finances. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | |

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|-------------------|-----------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|
| 4. | I cope well with changes to my financial situation. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | |
|-------------------|-----------------------------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|
| 5. | It is often hard for me to make up my mind when financially planning. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | |
|-------------------|---------------------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|
| 6. | Even at difficult times, I can make good financial decisions. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | |

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|-------------------|-------------------------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|
| 7. | I would like to hand over my financial decision making to others. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | |

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|-------------------|-----------------------------------------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|
| 8 | I find the amount of information attached to financial products too much to bear. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | |



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|-------------------|---------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|--|
| 9. | I keep calm in a personal financial crisis. | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | | |

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|-------------------|-------------------------------------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|--|
| 10. | When reviewing my finances, I often think it is 'all too much' to understand. | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | | |

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|-------------------|----------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|--|
| 11. | I look to a financial adviser for all the answers. | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | | |

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|-------------------|---------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|--|
| 12. | I have mostly felt on top of money and investing. | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | | |

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|-------------------|-----------------------------------------------------------------------|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|--|
| 13. | I would be happy to give control of my finances over to someone else. | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | |
| Strongly Disagree | | | | | | | | | | Strongly Agree | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | |
|-----|------------------------------------------------------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| 14. | Who would you be happy to give control of your finances over to? | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | |
|-----|------------------------------------------------------------------------------------------------------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| 15. | Please tell us about anything else that you feel could help us to tailor our support and communications for you. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |



Investor Experience: Section 1

Please select the most appropriate responses to the following twelve questions. This will help us to understand your exposure to financial markets in the past.

| | No understanding / knowledge | Very little understanding / knowledge | A fair degree of understanding / knowledge | A high level of understanding / knowledge |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|---------------------------------------|--------------------------------------------|-------------------------------------------|
| When it comes to your experience and understanding of investing, how would you describe yourself? | | | | |
| Do you understand how Current Accounts, Savings/Deposit Accounts, Cash ISA, National Savings, and Investments work and do you know the risks associated with them? | | | | |
| Do you understand how Unit Trusts and General Investment Accounts work and do you know the risks associated with them? | | | | |
| Do you understand how stocks and shares work, and do you know the risks associated with them? | | | | |
| Do you understand how Enterprise Investment Schemes and Venture Capital Trusts work, and do you know the risks associated with them? | | | | |
| Do you understand how pension planning and income in retirement works and do you know the risks associated with them? | | | | |



Investor Experience: Section 2

| | No | Yes, through a financial adviser | Yes, by myself | Yes, both through a financial adviser and by myself |
|---------------------------------------------------------------------------------------------------------------------------------------|----|----------------------------------|----------------|-----------------------------------------------------|
| Have you invested in Current Accounts, Savings/Deposit Accounts, Cash ISA, National Savings, and Investments within the last 5 years? | | | | |
| Have you invested in Unit Trusts and General Investment Accounts within the last 5 years? | | | | |
| Have you invested in stocks and shares within the last 5 years? | | | | |
| Have you invested in Enterprise Investment Schemes and Venture Capital Trusts within the last 5 years? | | | | |
| Have you invested in pension planning and income in retirement products within the last 5 years? | | | | |
| Do you check the valuation of your investment and retirement portfolio on an annual basis? | | | | |



Capacity For Loss

Please select the most appropriate responses to the following five statements. This will help us to understand your financial ability to recover from investment losses.

| | Less than 3 years | 3-9 years | 10-14 years | 15+ years |
|-----------------------------------------------------------------------------------|-------------------|-----------|-------------|-----------|
| I am investing to meet goals at what point in the future (my investment horizon). | | | | |

| | Disagree | Neither agree nor disagree | Agree | Strongly agree |
|--------------------------------------------------------------------------------------|----------|----------------------------|-------|----------------|
| I am flexible about my retirement date (or other determinant of investment horizon). | | | | |

| | Strongly agree | Agree | Neither agree nor disagree | Disagree |
|------------------------------------------------------------------------------------------------------------------------------|----------------|-------|----------------------------|----------|
| I have or expect to incur significant outstanding debts during the period of my investment (e.g., mortgage or credit cards). | | | | |

| | Disagree | Neither agree nor disagree | Agree | Strongly agree |
|--------------------------------------------------------------------------------------------------------------------------------------|----------|----------------------------|-------|----------------|
| My spouse or partner (or another family member) is likely to be able and willing to support me financially if circumstances require. | | | | |
| It would be relatively easy for me to cut my spending in retirement if circumstances require. | | | | |



Enhanced Suitability

Please select the most appropriate responses to these statements below. Please respond to all statements. This will help your adviser and you determine the type of investments that are suitable for you.

| | Very Important | Important | Neither Important nor Not Important | Not Important |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|-----------|-------------------------------------|---------------|
| How important is it to you to know that the products that you invest in are covered by the UK Financial Services Compensation Scheme? | | | | |
| How important is it to you to know that all your investments are accessible should you require the funds for emergency purposes? | | | | |
| Some investments borrow money to increase the total amount invested. By doing this, it increases the risk to you as an individual, especially if the product is unable to repay the amount borrowed. How important, therefore, is it to you to avoid such risks? | | | | |
| How important is it for you to be able to vary the underlying risks associated with your investments in line with changes in your personal circumstances? | | | | |



Ethical, Social & Governance (ESG) investing

Please indicate how strongly you agree or disagree with the following statements. Please respond to all statements.

| | | | | |
|---------------|-------------------------------------------------------------------------------------------------------------------------|--|---------------------|--|
| 1. | How important is it to you to know that the funds you invest in only trade in socially responsible areas of investment? | | | |
| | | | | |
| Not Important | | | Extremely Important | |

| | | | | |
|---------------|--------------------------------------------------------------------------------------------------------------------------------------|--|---------------------|--|
| 2. | How strongly do you feel about environmental factors such as climate change, and a company's environmental footprint and activities? | | | |
| | | | | |
| Not Important | | | Extremely Important | |

| | | | | |
|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------|--|
| 3. | How strongly do you feel about issues involving corporate governance (the way a company is run) including issues such as anti-corruption, diversity, human rights, equal opportunities and working conditions? | | | |
| | | | | |
| Not Important | | | Extremely Important | |

| | | | | |
|---------------|------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------|--|
| 4. | How important is it to you to invest an investment strategy that takes environmental, social and governance - or 'ESG' factors - into account? | | | |
| | | | | |
| Not Important | | | Extremely Important | |

| | | | | |
|---------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|----------------|--|
| 5. | If meant you would potentially earn less on your investment and it possibly affected your own future, would you be willing to exclude companies, sectors, or industries that have a poor history of corporate governance and/or environmental policies? | | | |
| | | | | |
| Exclude | | | Do Not Exclude | |

| | | | | |
|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------|--|
| 6. | We are committed to investing responsibly and pledge to uphold the United Nations Global Compact (UNGC) principles . How likely would you be to invest your money with us if we could demonstrate responsibly investing your wealth would not potentially negatively impact your investment performance? Past performance is no guide to future performance. | | | |
| | | | | |
| Highly Unlikely | | | Highly Likely | |

NAME

SIGNED DATE

By signing this document, you are agreeing that you have answered these questions truthfully, that they are your answers, and you are satisfied with these answers. By signing this document, you are agreeing that Thanks Wealth Planning will use the output from your answers to assess your risk profile and preferences to create your Wealth Plan and Investment Strategy.



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