



Investment Strategy

Please complete all sections electronically
or in BLOCK capitals using blue or black ink.

Wealth Manager Details

Location Code

Wealth Manager

Raymond James Head Office Use Only

Account reference RK

Wealth Manager use only

Existing account reference RK

Welcome to the Raymond James Investment Strategy Assessment Tool (ISAT)

We have a responsibility to ensure that our recommendations and investment decisions are suitable for you and the ISAT will help your Wealth Manager obtain the information necessary to ensure this. All of the information requested could be important even if it is not immediately obvious why, and **whilst we will endeavour to request all relevant information from you, if there is anything else you consider may affect the investment objectives or financial plans please let your Wealth Manager know.**

Where you and your Wealth Manager are working with other professional advisers, this may affect the level of service we provide or the information we need to collect.

We will use the information that you give us in this strategy assessment as the basis for our advice or management for you so **please contact your Wealth Manager without delay if circumstances change or you want to make any changes to any agreed instructions.**

This form is to be used for opening Corporate Accounts, Trust Accounts and Court of Protection Accounts (POA/Deputy Court Order). The decision maker, trustee, attorney/deputy must answer the questions on behalf of the corporate entity, trust, donor or client.

For Corporate Accounts please complete pages 3, 6 – 13

For Trust Accounts please complete pages 4, 6 – 13

For Court of Protection Accounts please complete pages 5 – 13

Corporate Accounts

Account title

Who is the decision maker for this account?

In what capacity?

Director

Authorised signatory

Other (please specify below)

Which accounts does this Strategy Assessment apply to?

Company Turnover & Profitability? £

Company's working capital (including income/expenditure)? £

Net value of liquid investments £

Net value of real property (e.g. investment properties, business assets) £

How much does the company keep in reserve for unforeseen emergencies? £

What % of the company's investable assets are to be invested?

Expected size of portfolio £

Source of investments

Origin of funds

Please state the origin and means of transfer for the funds/investments that you will be transferring to Raymond James (e.g. the name of the bank or investment company)

Wealth Manager Notes

Trust Accounts

Account title

Names of 1st & 2nd Trustees

Which accounts does this Strategy
Assessment apply to?

Total assets of the trust £

Does the trust have any liabilities?
If yes, please provide details

Does the trust have any regular
outgoings? If yes, provide details

Net value of the trusts investable assets £

How much does the trust keep in
reserve for unforeseen emergencies? £

What % of the trusts investable assets
are to be invested?

Does the trust require a regular income
to be distributed? (Present/future)

Expected size of portfolio £

Source of investments

Origin of funds
Please state the origin and means of
transfer for the funds/investments that
you will be transferring to Raymond
James (e.g. the name of the bank or
investment company)

Wealth Manager Notes

**Court of Protection Accounts
(POA/Deputy Court Order)**

Account title

Name of Attorney/s or Deputies

Which accounts does this Strategy
Assessment apply to?

Occupation or former occupation
of account holder

Gross Annual Income of the £
account holder

Source of income
(e.g. salary, pension)

Regular financial commitments £
(per month)

Net value of liquid investments £
(e.g. cash deposits, share portfolios)

Net value of real property £
(e.g. primary residence,
investment properties, business assets)

Expected size of portfolio £

Source of investments
(e.g. inheritance, accumulated
earnings, property sale)

Origin of funds
Please state the origin and means of
transfer for the funds/investments that
you will be transferring to Raymond
James (e.g. the name of the bank or
investment company)

Approximate proportion of overall
wealth this portfolio represents?

Intended sum set aside for emergency £
purposes?

Do you need to generate income
from the account?
If yes, please provide details

Knowledge & Experience of Investments

There are a very wide range of investments available around the world of varying complexity and sophistication. It is important that you understand the risks and principles behind the investments that are being recommended to you or being managed on your behalf. With this in mind we need to understand your **personal** current level of knowledge and experience of investments. Please provide information below about investments you have previously held or particular knowledge you have.

State what capacity you are acting in	1st Signatory		2nd Signatory	
	Controlling person	Trustee	Controlling person	Trustee
	Attorney	Deputy	Attorney	Deputy

Have you had previous experience of any of the following investment service levels – Discretionary Managed/ Advisory/Execution Only

Example: Yes – Discretionary Managed

If Advisory or Execution Only

Approximate number of transactions conducted each year

Example: 10

Approximate size of average transactions conducted

£ £
Example: £1,000

Nature of transactions conducted

Example: Taking Gains/Switching/Other

Investment Type

Experience – Product by Product – Length of Time Held *Tick relevant box – Leave blank where experience is below 1 year*

Product Types:	1st Signatory		2nd Signatory	
Government Bonds (Gilts)	1-3 Years	3+ Years	1-3 Years	3+ Years
Corporate Bonds – including High Yield Bonds	1-3 Years	3+ Years	1-3 Years	3+ Years
Commercial Property – not including Residential	1-3 Years	3+ Years	1-3 Years	3+ Years
UK Equities	1-3 Years	3+ Years	1-3 Years	3+ Years
International Equities	1-3 Years	3+ Years	1-3 Years	3+ Years
Single Company Stocks and Shares	1-3 Years	3+ Years	1-3 Years	3+ Years
Collective Funds – Unit Trusts, OEICs etc.	1-3 Years	3+ Years	1-3 Years	3+ Years
Small Company Equities – including AIM	1-3 Years	3+ Years	1-3 Years	3+ Years
Wider Range Investments – Hedge funds, Commodities etc.	1-3 Years	3+ Years	1-3 Years	3+ Years
Futures and Options	1-3 Years	3+ Years	1-3 Years	3+ Years

Wealth Manager Notes

Select one

Basic knowledge of a wide range of investments

1st Signatory

2nd Signatory

Explanatory note:

Basic knowledge: Investors have the following characteristics:

- *Basic knowledge of relevant financial instruments*
A basic investor can make an informed investment decision based on basic information provided at the point of sale: e.g. KID (Key Information Document), Illustration etc;
- *no financial industry experience, i.e. suited to a first time investor*

Informed knowledge of investments in general

Explanatory note:

Informed knowledge: Having the following characteristics:

- *General knowledge of relevant financial instruments*
An informed investor can make an informed investment decision based on the KID and has the wider understanding of the risks associated with specific investments;
- *some financial industry experience*

Advanced knowledge of investments in general

Explanatory note:

Advanced knowledge: Having the following characteristics:

- *Good knowledge of relevant financial products and transactions;*
- *Extensive experience of investments including via professional advice or discretionary management services*

Wealth Manager Notes

Higher Risk Investments

This section is only required where Higher Risk Investments or unregulated investments may be recommended or included in your portfolios.

There are a wide range of investments available but many would normally only be used by professional investors or clients willing to take significant risks with their money. This is because these types of investments may, for example, be complex, invest in high risk assets, or have limited accessibility. These characteristics would normally make them higher risk and generally unsuitable for most clients. **Raymond James categorises these as 'Higher Risk Investments'.**

Many collective investment schemes, e.g. unit trusts, are authorised or recognised by the Financial Conduct Authority (FCA) but some are not. **Authorised and recognised collective investment schemes are covered by the Financial Services Compensation Scheme (FSCS)** in the event that something goes wrong with the fund itself so some or all of your money would be returned. **Others may not be so all your money would be lost in the event of the failure of a fund not covered.**

Your Wealth Manager will discuss with you the possibility of unregulated or Higher Risk Investments forming part of any advice we give you, or whether it may be included in any portfolio we manage for you and why. They will also inform you of the extent of any risk that this may entail. Providing you are comfortable with the risks and wish to receive advice on these, or have them included in your portfolio, you will need to agree to this by signing the declaration below. **If you are in any doubt then you should not sign this declaration.**

I/we wish to receive advice on unregulated or Higher Risk Investments and/or have them included in my/our investment portfolios.

I/we confirm that:

- **I/we have discussed the risks involved** with unregulated and Higher Risk investments with my/our Wealth Manager;
- **I/we understand which type of unregulated and Higher Risk Investments may be included** in any recommendations or my/our investment portfolios and why;
- **I/we understand** that unregulated and some Higher Risk Investments are not covered by the FSCS and **I/we may not be able to claim compensation should the unregulated or Higher Risk Investment fail.**

First Party

Full name *Please print*

Leo Kenneth Park

Signature



Date

19.08.2022

Second Party

Full name *Please print*

Signature

Date

About the questions

The questions in this Strategy Assessment have been deliberately phrased in order to provoke thought and elicit meaningful answers. Please take time to consider each question in turn, and to discuss them with your Wealth Manager if required.

About the answers

Please note that there may be occasions when the answers will conflict. This is normal and might, for example, reflect the desire to achieve a high return with little or no risk. It is important that, where such conflicting answers arise, you discuss them with your Wealth Manager. This is because the implied investment strategy may not be suitable for you. If you are in any doubt about any of the answers in this Strategy Assessment please discuss them with your Wealth Manager.

About the investment strategy

The score that is achieved from the completion of the Strategy Assessment is intended to provide the basis for a decision as to which investment strategy is right for the Account. Your Wealth Manager will assess how the proposed investment strategy meets your needs, confirm the potential risks and returns and the menu of assets available for the actual investments. It is vital that you understand these issues and that you contact your Wealth Manager if you have any questions relating to this Strategy Assessment or to any other aspect of your investments.

Defining the Time Horizon

Please tick the boxes you feel best describe your attitude to defining your Time Horizon.

When is the earliest time at which a significant capital withdrawal would be made?

1 year or less	1	2 to 5 years	2	6 to 10 years	3	11 to 15 years	4	16 years or more	5
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What is your overriding financial goal?

I want to make sure that the capital value of my investment is protected	1	I want to produce income from my investment	2	I want to produce steady and reliable long term returns	3	I want to protect the capital value of my investments from the effects of inflation over the long term	4	I want to increase the capital value of my investments	5
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If you have a specific objective for this Strategy Assessment please specify it here

Please add together your scores and insert the total in this box. This subtotal should be carried forward to the Scoring section.

Time Horizon subtotal

00

Investment Risk Attitude

Please tick the boxes you feel best describe your attitude to Investment Risk

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
I will accept significant upward and downward movements in the capital value of my investments in order to maximise the potential for long term capital growth	5	4	3	2	1
I need to have enough money to meet my goal and so must protect what I have	1	2	3	4	5
In order to meet my goal, I accept that I may have to take some risks	5	4	3	2	1
I want to protect my investment and accept that this may mean that the opportunity for long term capital growth may be small	1	2	3	4	5
I am willing to accept some investment risk as I should have sufficient money to achieve my goal	5	4	3	2	1
I cannot afford to risk my investment as I may not have enough money to achieve my goal	1	2	3	4	5

If you have a specific preference regarding risk taking, please specify it here:

Please add together your scores and insert the total in this box. This subtotal should be carried forward to the Scoring section.

Investment Risk subtotal 00

Investment Objective Attitude

Please tick the boxes you feel best describe your attitude to Investment Objectives

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
I want to achieve the greatest return I can even if I have to take risks to do this	5	4	3	2	1
I want steady, reliable returns without dramatic swings in value and I accept this may mean the long term return may be reduced	1	2	3	4	5
I will accept short term losses in order to achieve greater returns in the longer term	5	4	3	2	1
I am more concerned about protecting the capital value of my investment than increasing it	1	2	3	4	5
If I had a large sum of money I would not invest it but would put it on deposit instead	1	2	3	4	5
I do not expect to spend any of my capital during the time horizon of my investment	5	4	3	2	1
I have significant other assets in addition to this investment	5	4	3	2	1
I expect to have income from other sources than this investment	5	4	3	2	1
I already have sufficient money to meet unforeseen emergencies	5	4	3	2	1

Please add together your scores and insert the total in this box. This subtotal should be carried forward to the Scoring section.

Investment Objective Total 00

Scoring

Please add together the sub total scores and insert the overall total in this box.

Time Horizon 00
Investment Risk 00
Investment Objective 00
Overall Total 00

Compare the Overall Total figure and its closest corresponding strategy to the descriptions on the last page to get an idea of the strategy that most closely matches your risk and return parameters.

Result	Less than 25	25-34	35-44	45-54	55-64	65-74	75 or more
Strategy	Bank Deposit	100% Defensive	75% Defensive	50% Defensive	25% Defensive	100% Growth	As agreed
			25% Growth	50% Growth	75% Growth		

These are approximations of the percentages of asset classes that will be contained in your portfolio. These percentages will vary due to market conditions and decisions made by your Wealth Manager, which we believe to be suitable based upon the information you have provided.

Agreed Investment Strategy

After discussion with my/our Wealth Manager, the information in the Strategy Assessment has been agreed. Alternatively, after discussion with my/our Wealth Manager the following change to the investment strategy has been agreed, with reasons why the change has been made.

Please confirm agreed Investment Strategy

100% Growth

25% Defensive and 75% Growth

50% Defensive and 50% Growth

75% Defensive and 25% Growth

100% Defensive

You must understand that investing is by nature risky and that you may not get back the amount you have invested or that an investment may fail to achieve our or your expectations.

We will use our best judgement at the time in providing advice to or management for you. There are different risks which apply to an individual investment and to a portfolio of investments as a whole. Your attitude towards risk is described in this Strategy Assessment.

You must notify us in writing if you wish to change your attitude towards risk for future investment advice or management. The value of your investments may fall as well as rise, and past performance is not a guide to future performance.

Declaration

Please read the statements below and only sign if you understand and agree with them:

- I/We are authorised to sign on behalf of this Corporate/Trust/Court of Protection account.
- I/We have read this form and to the best of my/our knowledge the information that I/we have provided is correct.
- I/We undertake to notify my/our Wealth Manager of any significant/material changes. I/We understand that these attitudes should be reviewed regularly.
- I/We understand that this Strategy Assessment forms part of my/our formal agreement between Raymond James and me/us.

First Party

Full name *Please print*

Leo Kenneth Park

Signature



Date

19.08.2022

Second Party

Full name *Please print*

Signature

Date

Raymond James Wealth Manager

Full name *Please print*

Signature

Date