

Investment Questionnaire

Integrity Financial Planners Pty Ltd has an approved list of investments that may be used by authorised representatives.

The inclusion of investments on the approved lists is determined by the Licensee of IFP, with reference to recommendations made by the Investment Committee.

Submissions may be made to the Investment Committee for the review of a particular investment and a recommendation regarding its inclusion on the IFP approved list.

Any such submission requires completion of the following questionnaire.

Person Making Submission				
Name of Investment/Product				
Manager/Promoter of Product				
Contact Person (name & phone no.)				
Product Description Provide a brief description of the investment/product Attach prospectus & other relevant material				
Asset Classes	Aust	Overseas	Which asset classes are included in this investment/product (tick appropriate box)?	
Cash	<input type="checkbox"/>	<input type="checkbox"/>	Comment/Details:	
Fixed Interest	<input type="checkbox"/>	<input type="checkbox"/>		
Property	<input type="checkbox"/>	<input type="checkbox"/>		
Shares	<input type="checkbox"/>	<input type="checkbox"/>		
Agricultural	<input type="checkbox"/>	<input type="checkbox"/>		
Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>		
External Research			Researcher(s):	Rating:
Is external research available?				
Attach copy				
Capabilities			Comment/Details:	
Are we licensed to advise/deal in the product?				
Do we have access to the required resources, people and systems to deal in the product?				

<p>Basis for Consideration</p> <p>How would this investment/product add value to the existing list (ie. what does it offer that is not already catered for)?</p> <p>For which clients would this investment/product be appropriate?</p> <p>Are there any restrictions on the investment/product (eg. min investment, closing date, financial approval required)?</p>		
<p><i>The following questions represent key filters that must be adequately met to justify further analysis of the investment. The person making the submission does not need to complete in detail but should consider if there are appropriate answers to the following questions.</i></p>		
<p>Resources</p>	<p>Who are the key people/companies involved in managing and marketing the investment/product?</p> <p>Do they have appropriate qualifications and experience?</p>	
	<p>What is the depth of financial resources/capital underlying the investment/product?</p> <p>Who provides those resources?</p>	
<p>Process</p>	<p>Is there a clear performance objective?</p> <p>Are there performance benchmarks?</p> <p>Is there a process underlying the product that is clearly defined and robust?</p>	
<p>Portfolio</p>	<p>Does the investment portfolio already exist?</p> <p>Is the portfolio consistent with the stated objectives and process?</p>	
<p>Past Performance</p>	<p>Is there a history of performance by the product &/or the people involved?</p> <p>Is past performance consistent with the stated objectives and process?</p>	
<p>Risks</p>	<p>What are the key risks of the investment/product? eg.</p> <ul style="list-style-type: none"> • Market (volatility & depth) • Business (eg management, end product demand) • Legislative (eg tax) • Financial (eg internal gearing) • Liquidity <p>Do the potential returns justify the risks?</p> <p>What key assumptions underlie the "story" – are they reasonable & what is the impact if they are not sustained</p>	

Signed _____

Date _____