



Client Name

Advisor Name

1. How old are you?

years

2. Have you moved home recently?

YES

☐

NO

☐

If yes, within the last 6 months

☐

Or the last 12 months

☐

3. Have you been through a divorce, separation or relationship breakdown recently?

YES

☐

NO

☐

If yes, within the last 6 months

☐

Or the last 12 months

☐

4. Has a spouse, close friend or family member passed away recently

YES

☐

NO

☐

If yes, within the last 6 months

☐

Or the last 12 months

☐

5. Are you currently working?

Employed

☐

Retired

☐

Unemployed

☐

Contractor (includes Self-employed)

☐

6. Do you have any financial dependents?

1 - 3

☐

4 - 5

☐

6 +

☐

No

☐

7. Are you a carer?

YES

☐

NO

☐

If yes, for 1 – 3 people

☐

For more than 4 people

☐

8. Have you been declared Bankrupt or had a County Court Judgement against you in the last 5 years?

YES☐

NO☐

If yes, within the last 12 months☐

Or the last 5 years☐

9. Have you ever been victim of financial fraud?

YES☐

NO☐

10. Has your physical health changed in the last 12 months?

YES☐

NO☐

If yes, within the last 6 months☐

Or the last 12 months☐

11. Do you have any difficulties with your hearing (including the use of a hearing aid)?

YES☐

NO☐

12. Do you have any difficulties with your sight?

YES☐

NO☐

13. Have you ever suffered a brain injury?

YES☐

NO☐

14. Have you struggled with your mental health or memory?

YES☐

NO☐

If no, skip to Q17

If yes, Dementia (or Dementia-like symptoms) and skip to Q17☐

Diagnosed Mental Ill Health☐

Undiagnosed Mental Ill Health☐

15. Do you struggle with your memory at times?

YES☐

NO☐

16. Has your mental health changed adversely in the last 12 months?

YES☐

NO☐

17. Have you been subject to a Safeguarding order in the last 5 years?

YES☐

NO☐

If yes, within the last 12 months☐

Or the last 5 years☐

18. Is English your first language?

YES☐

NO☐

19. Have you ever been diagnosed (or suspect you have) dyslexia?

YES☐

NO☐



Please indicate how strongly you agree or disagree with the following statements, by making a mark on the line.

I would like someone to solve my financial problems.

Strongly Disagree

Strongly Agree

Even if my finances go down, I will handle it well.

Strongly Disagree

Strongly Agree

I often feel helpless when reviewing my finances.

Strongly Disagree

Strongly Agree

I cope well with changes to my financial situation.

Strongly Disagree

Strongly Agree

It is often hard for me to make up my mind when financially planning.

Strongly Disagree

Strongly Agree

Even at difficult times, I can make good financial decisions.

Strongly Disagree

Strongly Agree

I would like to hand over my financial decision making to others.

Strongly Disagree

Strongly Agree



I find the amount of information attached to financial products too much to bear.

Strongly Disagree

Strongly Agree

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

I keep calm in a personal financial crisis.

Strongly Disagree

Strongly Agree

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

When reviewing my finances, I often think it is ‘all too much’ to understand.

Strongly Disagree

Strongly Agree

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

I look to a financial adviser for all the answers.

Strongly Disagree

Strongly Agree

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

I have mostly felt on top of money and investing.

Strongly Disagree

Strongly Agree

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

I would be happy to give control of my finances over to someone else.

Strongly Disagree

Strongly Agree

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Client Signature	
Print Name	
Date	