



CLIENT INVESTMENT PROFILE

Titan Securities Pty Ltd
AFS Licence: 307040

So that Titan Securities Pty Ltd may meet its **compulsory obligations under 945A “Know Your Client Rule” of the Corporations Act** and continue to provide you with appropriate advice, we request that you complete this Client Investment Profile entirely and accurately. If the information is incomplete or inaccurate, we may not be able to provide advice regarding your investments.

The information sought in this document will be treated in the strictest confidence. When completed, it will provide us with an accurate picture of your current personal position, risk profile, financial goals and needs. It will be used by your adviser to ensure the advice we provide is tailored to your specific needs and objectives. Titan Securities Pty Ltd accepts no liability for any advice given on the basis of inaccurate or incomplete information.

Titan Securities Pty Ltd will protect your privacy in accordance with the Privacy Act and our own Privacy Policy.

Equity Account Number _____

Derivatives Account Number _____

Account Name(s) _____

Account Designation _____

Account Address _____

Adviser Name _____

By signing below, I/we acknowledge that the information provided in the following sections is accurate, to the best of my/our knowledge.

Signature 1 _____ Dated _____

Signature 2 _____ Dated _____

Signature 3 _____ Dated _____

Titan Securities Pty Ltd
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Telephone 1800 228 600

Limited Response

I/ we do not wish to complete the "Client Investment Profile". I/ we acknowledge that any advice or recommendations coming from Titan Securities Pty Ltd does not take into consideration my/ our individual investment needs. **Note: If you have ticked this box, then please complete all of section 2 (pages 3 to 8 compulsory).**

CLIENT PROFILING INFORMATION (SECTION 1)

Client Information			
	Account Holder 1	Account Holder 2	Account Holder 3
Client Name			
Total Annual Income (please tick)	<input type="checkbox"/> \$0 - \$50,000 <input type="checkbox"/> >\$50,000- \$100,000 <input type="checkbox"/> >\$100,000-\$150,000 <input type="checkbox"/> >\$150,000-\$250,000 <input type="checkbox"/> >\$250,000	<input type="checkbox"/> \$0 - \$50,000 <input type="checkbox"/> >\$50,000- \$100,000 <input type="checkbox"/> >\$100,000-\$150,000 <input type="checkbox"/> >\$150,000-\$250,000 <input type="checkbox"/> >\$250,000	<input type="checkbox"/> \$0 - \$50,000 <input type="checkbox"/> >\$50,000- \$100,000 <input type="checkbox"/> >\$100,000-\$150,000 <input type="checkbox"/> >\$150,000-\$250,000 <input type="checkbox"/> >\$250,000
Date of Birth			
Gender (M or F)			
Marital Status			
Dependents			
Employer			
Occupation			

Assets and Liabilities for all Account Holders		
Personal Assets <i>Comprising</i>	Principal Residence	\$
	Holiday Home	\$
	Other private assets e.g. Artwork	\$
Investment Assets <i>Comprising</i>	Australian Shares	\$
	Employee Shares	\$
	International Shares	\$
	Cash	\$
	Fixed Interest	\$
	Managed Funds	\$
	Superannuation Fund/s	\$
	Investment Property	\$
	Other	\$
Total Assets	A	\$
Liabilities <i>Comprising</i>	Home Mortgage	\$
	Investment Loans	\$
	Margin Lending Loans	\$
	Credit Cards	\$
	Other	\$
Total Liabilities	B	\$
Net Assets	A-B	\$

SECTION 2

Investment Experience				
Australian Shares	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Managed Funds	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
International Shares	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Fixed Interest	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Margin Lending	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Short Selling	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Warrants	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Property	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Margin Forex	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
Futures & Options	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None
CFDs	<input type="checkbox"/> Extensive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Limited	<input type="checkbox"/> None

Investment Goals	
Objectives (<i>please rank in order of priority from 1-7 with 1 as your top priority</i>)	<input type="checkbox"/> Income Yield
	<input type="checkbox"/> Capital Stable
	<input type="checkbox"/> Blue Chip Portfolio
	<input type="checkbox"/> Growth Oriented
	<input type="checkbox"/> Balanced Income/Growth
	<input type="checkbox"/> Stock Selections
	<input type="checkbox"/> Futures & Options
	<input type="checkbox"/> CFDs
	<input type="checkbox"/> Other (please specify)
Investment Time Horizons (<i>please tick</i>)	<input type="checkbox"/> Short Term (less than 2 years)
	<input type="checkbox"/> Medium Term (2-5 years)
	<input type="checkbox"/> Long Term (greater than 5 years)

Ownership Structure	
In which structure(s) do you wish to accumulate your investments? (<i>please tick</i>)	<input type="checkbox"/> Individual Name
	<input type="checkbox"/> Joint Names
	<input type="checkbox"/> Company Name
	<input type="checkbox"/> Superannuation Fund
	<input type="checkbox"/> Trust
	<input type="checkbox"/> Family Trust
	<input type="checkbox"/> Other Trust
	<input type="checkbox"/> Combination
	<input type="checkbox"/> Other

Client Interests	
Which investments interest you? (please tick)	<input type="checkbox"/> Australian Shares
	<input type="checkbox"/> Listed Managed Funds (excluding property)
	<input type="checkbox"/> Listed property Trusts
	<input type="checkbox"/> Cash Management Trusts
	<input type="checkbox"/> Installment Warrants
	<input type="checkbox"/> International Shares
	<input type="checkbox"/> New floats
	<input type="checkbox"/> Futures & Options / CFDs / Margin Forex

Client Interests	
Which types of Australian shares are of interest to you? (Please tick)	<input type="checkbox"/> Top 100
	<input type="checkbox"/> Resources
	<input type="checkbox"/> Biotechnology
	<input type="checkbox"/> Emerging companies
	<input type="checkbox"/> Consumer staples
	<input type="checkbox"/> Healthcare
	<input type="checkbox"/> Energy
	<input type="checkbox"/> Infrastructure /utilities
	<input type="checkbox"/> Information Technology
	<input type="checkbox"/> Telecommunications
	<input type="checkbox"/> Property
	<input type="checkbox"/> Property trusts
	<input type="checkbox"/> Gold
	<input type="checkbox"/> Banks and finance sector
<input type="checkbox"/> Industrials	

Client Interests	
How would you describe your trading style? (please tick)	<input type="checkbox"/> Long term investor / accumulator
	<input type="checkbox"/> Regular trader
	<input type="checkbox"/> Short term opportunities / trader
	<input type="checkbox"/> Income oriented
	<input type="checkbox"/> Periodic sales and purchases

This section of the Profile Form will help us to understand what type of investor you are and will enable us to recommend a personal asset allocation tailored to your needs. Please complete these questions by choosing the answer which most closely describes you.

Investor Risk Profile

(Please tick the most appropriate box in each section)

	Account Holder 1	Account Holder 2	Account Holder 3
1 Which of the following best describes your purpose for investing?			
a. An investment horizon longer than 5 years. You understand investment markets and mainly invest for growth, to accumulate long-term wealth.			
b. You have surplus funds to invest and aim to accumulate long-term wealth from a balanced portfolio.			
c. You have a lump-sum (e.g. an inheritance) and are uncertain about the more secure shares available.			
d. You are nearing retirement and want sufficient funds to enjoy your retirement.			
e. Some specific objectives within the next five years, for which you want to accumulate sufficient funds			

2 Which of the following best describes your current stage of life?			
a. Single with few financial burdens. You are keen to accumulate wealth for the future			
b. A couple without children. Preparing for the future by establishing a home. A high purchase rate of consumable items			
c. Young family, with a home. You have a mortgage and maintain only small cash balances			
d. Mature family. You're in your peak earning years and have the mortgage under control. Your partner works and children are growing up and require less supervision/have left home. You're thinking about retirement.			
e. Preparing for retirement. You probably own your home and have few financial burdens: you want to ensure you can afford a comfortable retirement			
f. Retired. You rely on existing funds and investments to maintain your lifestyle. You may be receiving a pension. Keen to enjoy life and maintain your health.			

Investor Risk Profile*(Please tick the most appropriate box in each section)*

	Account Holder 1	Account Holder 2	Account Holder 3
3 In the light of current interest rates, what return do you reasonably expect to achieve from your investments?			
a. A reasonable return, without losing capital			
b. Current inflation plus 2-4% per annum			
c. Current inflation plus 5-7% per annum			
d. Current inflation plus 8-12% per annum			
e. Greater than d.			

4 How familiar are you with investment markets?			
a. Experienced with all investment sectors and understand the various factors which influence performance.			
b. Understand that markets fluctuate and that different market sectors offer different income, growth and taxation opportunities			
c. Have enough experience to understand the importance of diversification			
d. Not very familiar with investment markets			
e. Very little understanding or interest			

5 How long would you expect most of your money to be invested before you need to access it (assuming you made plans to meet short term financial objectives and to handle emergencies)?			
a. Less than 2 years			
b. Between 2 and 3 years			
c. Between 3 and 5 years			
d. Between 5 and 7 years			
e. Longer than 7 years			

6 What would be your reaction if six months after placing your investment, you discover that, in line with what is happening in the financial markets generally, your portfolio had decreased in value by 20%?			
a. Horror. Security of your capital is critical and you did not intend to take such risks			
b. You would cut your losses and transfer your funds into more secure investment sectors			
c. You would be concerned, but would wait and see if the investments improve			
d. This was a calculated risk and you would leave the investments in place, expecting performance to improve.			
e. You would invest more funds to lower your average investment price, expecting future growth			

Investor Risk Profile*(Please tick the most appropriate box in each section)*

	Account Holder 1	Account Holder 2	Account Holder 3
7 If you didn't need your capital for more than 10 years, how long would you be prepared to see your investment performing poorly before you cashed it in?			
a. You would cash it in immediately if there were any loss in value			
b. Up to 3 months			
c. Up to 6 months			
d. Up to 1 year			
e. Up to 2 years			

8 How stable is your current and future income from sources such as salary, superannuation, allocated pensions and other investments?			
a. Very stable			
b. Stable			
c. Somewhat stable			
d. Unstable			
e. Very Unstable			

9 Do you have separate savings set aside for major expenses? This may include things like education, home mortgage payments, home repairs and retirement.			
a. I have no upcoming expenses other than my retirement living expenses			
b. Yes, I do have separate savings to meet my expenses			
c. I have a small amount of savings and a large credit card limit on my credit card for emergencies			
d. I have no savings, but can use my credit card for emergencies			
e. No, I do not have separate savings to meet major expenses			

Please read the Investor Risk Profiles that follow and tick the profile that more closely matches your investment style.

Investor Risk Profile

(Please Tick)

Defensive

You are a defensive investor. Risk must be very low and you are prepared to accept lower returns to protect capital. The negative effects of tax and inflation will not concern you, provided your initial capital is protected.

Moderate

You are a moderate investor seeking better than basic returns, but risk must be low. Typically, you are an older investor seeking to protect the wealth which you have Accumulated, and you prefer to consider less aggressive investments.

Balanced

You are a balanced investor who wants a balanced portfolio to work towards medium to long term financial goals. You require an investment strategy, which will cope the effects of tax and inflation. Calculated risks will be acceptable to you to achieve good returns.

Growth

You are a growth investor, probably earning sufficient income to invest most funds for capital growth. Prepared to accept higher volatility and moderate risks, your primary concern is to accumulate assets over the medium to long term. You require a balanced portfolio, but more aggressive investments may be included.

High Growth (For example: Shells, Resource Stocks & IPOs)

You are a high growth investor, prepared to compromise portfolio balance to pursue potentially greater long term returns. Your investment choices are diverse, but carry with them a higher level of speculative risk. Security of capital is secondary to the potential for wealth accumulation.

Aggressive (Futures & Options / CFDs / Margin Forex)

You are prepared to invest in speculative new issues, futures & options, CFDs or margin forex. You understand the risks and have sufficient capital to accept the risks.