STATE ONE
STOCKBROKING LTD

ABN 95 092 989 083 /// AFSL 247 100 /// Participant of ASX Group & Chi-X Australia

Level 14, 172 St. Georges Terrace PERTH WA 6000
PO Box 7625 CLOISTERS SQUARE WA 6850
Telephone: +61 8 9288 3388
Facsimile: +61 8 9288 3359
Email: broker@stateone.com.au

UPDATE OF INVESTMENT OBJECTIVES

1. ACCOUNT DETAILS

Client Account Number: [ ] [ ] [ ] [ ] [ ]

	TITLE	GIVEN NAME(S) OR COMPANY NAME	SURNAME
Applicant 1 **or** Director:			
Applicant 2 **or** Director / Company Secretary:			
Applicant 3:			

Statement of Investment Objectives and Financial Position

Please use this form if you are updating your Investment Objectives and/or your Personal Circumstances

Note: where there is more than one applicant, details may differ for each individual. Please complete the Financial Circumstances for all applicants. Unless otherwise advised confirmation of your Investment Objectives and Financial Position will be sent to the Primary contact only.

To enable State One Stockbroking Ltd to provide Advice to Retail Clients (and discharge its obligations under the Corporations Act in doing so), we are required to make recommendations appropriate to your requirements. We are obliged to ask for the particulars of your investment objectives, financial situation & particular needs. Please be assured that all information provided will be treated in confidence.

We understand that you may not wish to disclose some or all of the information requested. In such cases, State One will not be able to provide you with fully informed advice, and your rights under the Corporations Act may be affected as a result.
In order for State One to provide Personal Advice tailored to your needs, **ALL** sections below must be completed in full. If you do not wish to disclose some or all of the required information, you may choose to have a General Advice Only account. If you do not complete **ALL** of the Sections you will be deemed to have elected the General Advice Only option. General Advice attracts a lower brokerage rate.

2. RISK PROFILE

In Section 3 - Statement Of Investment Objectives And Financial Circumstances, we ask for particulars of your investment objectives, financial situation and particular needs. An important aspect of providing recommendations is understanding the clients' risk profile.

Below are a range of profiles and characteristics of each to help you determine your risk profile.

Category	Key Characteristics
Very Conservative	• Not willing to accept any capital risk or volatility of return • Priority is to safeguard investment capital • Prepared to accept low returns to preserve capital
Conservative	• Prepared to accept minimal capital risk and volatility of return • Priority is to preserve investment capital (over medium to long term)
Moderate	• Prepared to accept some capital risk and volatility of return • Prepared to take some short term risk to gain longer term capital growth • Portfolio balance is of concern
Aggressive	• Prepared to accept high growth/investment return for capital risk and possible high volatility • Prepared to sacrifice short term safety to maximise longer term capital growth • Portfolio balance is of concern but willing to accept some imbalance
Very Aggressive	• Prepared to accept a high risk / return philosophy • Prepared to sacrifice investment capital for possible high returns • Portfolio balance is of no concern

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3. STATEMENT OF INVESTMENT OBJECTIVES

Investment Objectives

Please rank in order of importance (1: most important & 9: least important)

☐ Capital Preservation
☐ Income
☐ Balanced
☐ Growth
☐ Other ______
☐ Aggressive Growth
☐ Trading
☐ Speculative
☐ Leveraged Growth

Investing Interests

Please tick to indicate.

☐ Blue Chip
☐ Industrials
☐ Margin Lending
☐ International Equities
☐ Fixed Interest
☐ Property Trusts
☐ Dividend Reinvestment
☐ Other – Please Specify ______
☐ New Floats (IPO's)
☐ Exchange Traded Options
☐ Managed Funds
☐ Short Selling
☐ Speculative
☐ Franked Dividends
☐ Preference Shares

Risk Profile

Please tick to indicate.

	Category	Key Characteristics
☐	Very Conservative	- Not willing to accept any capital risk or volatility. - Priority is to safeguard investment capital. - Prepared to accept low returns to preserve capital.
☐	Conservative	- Prepared to accept minimal capital risk and volatility. - Priority is to preserve investment over medium to long term.
☐	Moderate	- Prepared to accept some capital risk and volatility. - Prepared to take short term risk to gain longer term growth. - Portfolio balance is of concern.
☐	Aggressive	- Prepared to accept high capital risk and possible high volatility for growth/investment return. - Prepared to sacrifice short term safety to maximise longer term capital growth. - Portfolio balance is of concern, but willing to accept some imbalance.
☐	Very Aggressive	- Prepared to accept a high risk/return philosophy. - Prepared to sacrifice investment for possible high returns. - Portfolio balance is of no concern.

Investment Time Horizons

Please tick to indicate.

☐ Less than 18 months ☐ 18 months – 3 years ☐ 3 – 5 years ☐ 5 – 7 years ☐ More than 7 Years

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3. STATEMENT OF FINANCIAL CIRCUMSTANCES

Applicant 1

Investment Experience

Please tick to indicate.

Investment	First Time	Inexperienced	Some Experience	Very Experienced
Australian Equities	☐	☐	☐	☐
Exchange Traded Options	☐	☐	☐	☐
Warrants	☐	☐	☐	☐
Margin Lending	☐	☐	☐	☐
International Equities	☐	☐	☐	☐
Fixed Interest	☐	☐	☐	☐
Property Trusts	☐	☐	☐	☐
Managed Funds	☐	☐	☐	☐
Other – please specify				

Investment Portfolio

Please indicate current value, net of debt.

Property	$
Equities	$
Options/Warrants	$
Investment Funds	$
Fixed Interest	$
Cash at Bank	$
Other	$

Net Asset Position

Please tick to indicate.

☐ < $50,000 ☐ $50,001 - $100,000
☐ $100,001 - $250,000 ☐ $250,001 - $500,000
☐ $500,001-$1,000,000 ☐ $1,000,001+

Annual Income

Please tick to indicate.

☐ $0 - $30,000 ☐ $30,001 - $50,000
☐ $50,001 - $100,000 ☐ $100,001 - $150,000
☐ $150,001 - $200,000 ☐ $200,001+

Annual Lifestyle Expenditure

Please tick to indicate.

☐ $0 - $20,000 ☐ $20,001 - $30,000
☐ $30,001 - $40,000 ☐ $40,000+

Applicant 2

Section 12E - Investment Experience

Please tick to indicate.

Investment	First Time	Inexperienced	Some Experience	Very Experienced
Australian Equities	☐	☐	☐	☐
Exchange Traded Options	☐	☐	☐	☐
Warrants	☐	☐	☐	☐
Margin Lending	☐	☐	☐	☐
International Equities	☐	☐	☐	☐
Fixed Interest	☐	☐	☐	☐
Property Trusts	☐	☐	☐	☐
Managed Funds	☐	☐	☐	☐
Other – please specify				

Investment Portfolio

Please indicate current value, net of debt.

Property	$
Equities	$
Options/Warrants	$
Investment Funds	$
Fixed Interest	$
Cash at Bank	$
Other	$

Net Asset Position

Please tick to indicate.

☐ < $50,000 ☐ $50,001 - $100,000
☐ $100,001 - $250,000 ☐ $250,001 - $500,000
☐ $500,001-$1,000,000 ☐ $1,000,001+

Net Asset Position

Please tick to indicate.

☐ < $50,000 ☐ $50,001 - $100,000
☐ $100,001 - $250,000 ☐ $250,001 - $500,000
☐ $500,001-$1,000,000 ☐ $1,000,001+

Annual Lifestyle Expenditure

Please tick to indicate.

☐ $0 - $20,000 ☐ $20,001 - $30,000
☐ $30,001 - $40,000 ☐ $40,000+

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4. SIGNING AND ACKNOWLEDGEMENT

Each Applicant (and Third Party Authorities) by signing this application agrees and/or confirms:
That details provided in Section 3 are an accurate representation of my/our investment objectives and financial position

"Client " in the Client Agreement refers to the collective applicants in this Account Application Form.

Applicant 1 **or** Director: (if sole director please tick box)	☐	NAME	SIGNATURE
Applicant 2 **or** Director / Company Secretary:		NAME	SIGNATURE
Applicant 3:		NAME	SIGNATURE
Date:		/ /	

5. RESEARCH

State One Stockbroking Ltd provides a wide range of research material on a daily basis.

Please tick the box if you would like to receive this research.

Please indicate the method by which you would like to receive your research.

☐		**Please provide current details**
☐	**Email**	
☐	**Post**	
☐	**Fax**	
☐	**Website**	**Research is updated daily on www.stateone.com.au**

ADMINISTRATION – STATE ONE USE ONLY

Advisor:	Advisor Number:	Include on Research List?	Y / N
A/C No.:	Date:	**Date:**	
Initials:	Profile added:	**Client account updated:**	Y / N