****Execution Only

Transaction Record

*This box is an instruction to the Adviser only and must be deleted.*

**WHAT IS AN EXECUTION ONLY TRANSACTION RECORD?**

*An Execution Only document is issued to the client who has expressly directed, in full detail, without* ***any*** *recommendations or advice from the financial adviser*

*- the implementation of an investment / withdrawal*

*- an action on an existing insurance policy*

*The implementation of the transaction must exactly follow this express client direction.*

*The circumstances explaining why professional advice was refused by the client should be recorded separately in a comprehensive file-note.*

|  |  |
| --- | --- |
| **CLIENT / TRUSTEE NAME(s)** | <<Full Name(s)>> |
| **CONTACT DETAILS** | The aim is to uniquely identify the client or trustee. |
| **DATE OF CLIENT REQUEST:** | <<Date>> |
| **ADVISER NAME:** | <<Full Name>> |

**IMPORTANT:** As per your instructions, I have **not** undertaken a Fact Find for you, and have **not** considered your personal goals or objectives or financial situation.

This Execution Only Transaction Record is based solely on the details of your request:

Delete/Tailor the following as required

- to invest <<$amount>> within <<specific product>> on <<specific platform>>. Cash to be sourced from your nominated account.

<<Nominated Account details>>

- to withdraw <<$amount>> within <<specific product>> on <<specific platform>> and remit cash to your nominated account.

<<Nominated Account details>>

- rebalance your existing portfolio <<portfolio identification>> on <<specific platform>> to the respective product allocation percentages at << inception OR date>>.

- to redeem your invested funds within <<specific product>> on <<specific platform>> and remit the net Cash balance as Cash to your nominated account.

<<Nominated Account details>>

- to purchase <<$amount>> of <<share name>> (<<share ASX code>>). Cash to be sourced from your nominated account.

<<Nominated Account details>>

- to sell <<units>> of <<share name>> (<<share ASX code>>) and remit the net Cash balance as Cash to your nominated account.

<<Nominated Account details>>

- to make application to increase the amount of <<specific insured benefit>> by <<$amount>> on a pre-existing insurance policy <<on specific platform >> AND/OR owned by <<name>> AND (<<Policy ID>>)

- to make application to reduce the amount of <<specific insured benefit>> by <<$amount>> on a pre-existing insurance policy <<on specific platform >> AND/OR owned by <<name>> AND (<<Policy ID>>)

- to cancel the pre-existing insurance Policy <<on specific platform >> AND/OR owned by <<name>> AND (<<Policy ID>>)

- to cancel <<specified benefit>> on the pre-existing insurance policy <<on specific platform >> AND/OR owned by <<name>> AND (<<Policy ID>>)

The Implementation of your request is required to be completed:

Delete one of the following

* As soon as possible
* By <<date>>
* Same day

Tailor the following Table (substantially) as required by the Product Type

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **PRODUCT**  **ISSUER** | **PRODUCT**  **TYPE** | **PRODUCT**  **OWNER** | **AMOUNT TO PURCHASE / SELL** | **TOTAL**  **COST** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **TOTAL** |  |  |  |  |

Delete/Tailor the following as required by the Product Type

**RISKS**

Investment

It is important that you are aware that every investment carries a degree of risk. The larger the potential return on any investment then generally the higher the risk it has. This also means the greater the chance of large fluctuations in its value over time – from significant gains to possibly the loss of some or all of your initial investment. There may be significant income tax consequences as well.

I strongly recommend you read the Product Disclosure Statement before you <<invest in>> OR <<divest>> this product.

I strongly recommend you seek expert advice before you <<invest in>> OR <<sell>> shares.

If you have not done this as yet, please do this before signing off on this document to ensure you are 100% happy with this transaction.

There may be brokerage or buy/sell costs associated with this transaction. You are aware of this and happy to proceed.

Insurance

It is important that you are aware that changes to existing insurance products and policies may result in being over or under insured or not having appropriate cover for future events.

I strongly recommend you seek advice personal insurance needs analysis and/or advice before you cancel/alter your personal insurance. You have declined my advice on this transaction.

Delete/Tailor the following Table as required by the Product Type

**FEE / COMMISSION**

I am happy to implement this investment for you but you must be aware that I will receive a Fee OR Commission for this investment transaction.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PRODUCT** | **AMOUNT**  **INVESTED** | | **UPFRONT COMMISSION** | | **COMMISSION PAID TO LICENSE** | | **COMMISSION**  **PAID TO**  **ADVISOR** | |
|  | **%** | **$** | **%** | **$** | **%** | **$** | **%** | **$** |
| <<Product>> |  |  |  |  |  |  |  |  |
| **Total** | **$00.00** | | **$00.00** | | **($00.00)** | | **($00.00)** | |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PRODUCT** | **ONGOING PREMIUM** | | **ONGOING COMMISSION** | | **COMMISSION PAID TO LICENSE** | | **COMMISSION**  **PAID TO**  **ADVISOR** | |
|  | **%** | **$** | **%** | **$** | **%** | **$** | **%** | **$** |
| <<Product>> |  |  |  |  |  |  |  |  |
| **Total** | **$00.00** | | **$00.00** | | **($00.00)** | | **($00.00)** | |

Delete the following as required

**IMPORTANT**

My name will be listed as the financial adviser on your account.

**Client Acknowledgement**

I/We acknowledge that the transactions listed above implemented in my/our names by my/our financial adviser as per our own express request.

I/We acknowledge that neither our Adviser nor InterPrac Financial Planning Pty Ltd will accept any legal liability to reimburse, or reinstate my pre-transaction situation, should circumstances beyond the control of the adviser result in my transaction timeframe not being met.

I/We acknowledge that neither our Adviser nor InterPrac Financial Planning Pty Ltd will accept any legal liability to reimburse, or reinstate my pre-transaction situation, should the Underwriter not comply with my Policy transaction request in whole or part.

I/We acknowledge that neither our Adviser nor InterPrac Financial Planning Pty Ltd will accept any legal liability to reimburse, or reinstate my pre-transaction situation, should the investment Product Provider not comply with my transaction request in whole or part.

I/We declare that no investment advice or insurance recommendations whatsoever have been made by the financial adviser, and that the Adviser or agent is simply executing this transaction on my behalf.

I/We acknowledge that implementation of my request my nominated institution does not amount to an endorsement of the transaction by my Adviser or InterPrac Financial Planning.

**CLIENT/S SIGNATURE**

**1.** Signature of Client **2.** Signature of Client

Name of Client Name of Client

Date Date

**ADVISER SIGNATURE**

Signature of Adviser

Name of Adviser

Insert your name here

Date