

**Record of Advice (Hold / No Change / Comprehensive File Note)**

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| **Client Name(s)** |  |
| **Date of Discussion:****Where**: |  / / |

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| This record of advice is further to advice provided in Statement of Advice dated / /  |
| [ ]  Advice Initiated by Adviser | [ ]  Advice Initiated by Client |

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| **Financial Services Guide**[ ]  Referred to FSG already held by client[ ]  FSG Version Dated / / Provided |

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| **Relevant SOA’s/ROA’s**[ ]  Relevant/Corresponding advice documents (capture dates) |

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| **Any Changes in Client Circumstances?**(if there have been *significant or material* changes then a Statement of Advice must be completed, refer to Business Principles – Advice Documentation)[ ]  There have been no changes to the client situation |
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| **Scope of Advice**[ ]  Full Review of Situation[ ]  Review Limited to the following (including reasons): |
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| **Recommendation** |
| [ ]  No Changes to existing Strategies and or products as these remain appropriate and continue to meet the client’s goals and objectives |
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| How does this meet the client’s requirements?  |
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| **Costs and Risks** |
| **Initial** | **Ongoing** |
| [ ]  No Change[ ]  Fee of $  | [ ]  No Change[ ]  Changed to $ |
| Details Discussed: |
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| **Warnings Provided (verbally and in writing)** |
| [ ]  Not Applicable | [ ]  Limited Advice Warning |
| [ ]  Non-Approved Product | [ ]  Other |
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| **Other Items Provided** |
| [ ]  PDS already held[ ]  PDS provided:[ ]  Product Summary:  | [ ]  Copy of ROA Offered but Declined[ ]  Copy of ROA Provided:[ ]  Other: |
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Sure

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| **Conflict of Interest** |
| [ ]  No new conflicts of interests will arise as a result of these recommendations. Refer to your SOA dated / / for disclosure of my interests.[ ]  I am unaware of any conflicts associated with the recommendations in this ROA.[ ]  I have an interest in (see below): |
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| **Referral Arrangements** |
| [ ]  None[ ]  Yes, as follows: |
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| **How will this advice be provided to your client?** |
| [ ]  Provision of an SOA or ROA (subsequent documents to follow)[ ]  Verbally, and set out in an ROA (subsequent documents to follow)[ ]  Verbally, and recorded in this file note (client to sign off this note and retain on file as record of advice) |

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| **Authority to Proceed** |
| [ ]  Recommendations accepted[ ]  Changes requested as follows: |
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| **Other Discussion Notes:** |
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| **Adviser Name** |  |
| **Adviser Signature** |  |
| **Dated** |  / / |

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| **Client(s) Name** |  |  |
| **Client(s) Signature** |  |  |
| **Dated** |  / / |  / / |