

Bespoke Portfolio Service

Professional Adviser Suitability
Confirmation

Suitability Responsibility: Professional Adviser



BROOKS MACDONALD

Professional Adviser Suitability Confirmation

Client name:

Accounts held with Brooks Macdonald and the portfolio investment profile of each

Accounts and investment profile:

Company name:

Adviser name:

Professional Adviser to complete

The Professional Adviser is required, as part of the legal agreement between Brooks Macdonald and the Professional Adviser to confirm the following:

- I have carried out anti-money laundering identification and verification to the standards required by the Money Laundering Regulations 2017
- I have been appointed by the client as their Professional Adviser
- I have carried out an assessment of the Suitability of the BPS for the client in accordance with applicable requirements
- I have discussed the BPS with the client and advised them based on their Investment Objectives and Risk Profile
- I have full and continuing authority from the client in respect of any instructions given by me in the context of my agreement with the client

Signature:

Date:

Full name:

Address:

Postcode:

FCA reference number:

Please note: If you wish to confirm the legal agreement for more than one client please complete a confirmation form for each client.

(TC874.6-R)