

LIMITED ADVICE TRANSACTION

1. Please note the following:

- The advantages of having a suitability analysis are to:
 - a. Give me a full understanding of your personal circumstances, including your financial goals and risk tolerances, allowing me to tailor my advice to your specific needs;
 - b. Provide you with an analysis of your current and future financial situation;
 - c. Determine which financial products may be suitable for your current and future needs and goals
 - d. Advise you of any gaps in your risk or investment profile
- The risks of not having a suitability analysis are that:
 - a. Any advice I give you is based on incomplete information and will therefore be of a more general nature.
 - b. A complete financial analysis will not be conducted
 - c. Financial products that I recommend may be unsuitable for your needs and goals either now or in the future
 - d. You may commit to products which bear a greater risk than you would otherwise tolerate
 - e. Possible gaps in your risk or investment profile may not be uncovered

The purpose of this transaction is to apply for:

Tick one or more of the options below:

- ☐ You have instructed me not to determine the suitability of my financial adviser services to your particular circumstances
This statement acknowledges the following:
- You waive your right to a suitability analysis of my financial adviser services;
- ☐ You acknowledge that you have chosen not to disclose all of the information sought by me and that the suitability of my financial adviser services to your circumstances is based only upon that information which you have provided.
- You have not provided me with all the information I have requested and that the suitability of my financial adviser services to your particular circumstances is based only upon the information that I have received.
 - I have not directed or influenced you not to receive a suitability analysis or limit what information you give me;
 - You accept that you must still disclose all relevant information on any application submitted on your behalf.
- ☒ Other
Rodney has instructed me that he only wants life cover of \$250K. We did not go through a full "insurance planner"

Please note that at any time during this process, you can elect to have me conduct a financial suitability analysis.

Client Name	Rodney Buck	Partner Name	
Signed/Emailed		Signed/Emailed	
Dated	Feb 1, 2017	Dated	Feb 1, 2017

