

# INVESTMENT & ASSET CONSULTING

## CHECKLIST

Dear customer,

Investing money is a complex and varied task that should be done carefully.

We have therefore prepared a checklist.

She is a great opportunity

- so that you think more intensively about your investment goals,
- Record your current financial situation completely,
- Define your general conditions, wishes and preferences,
- so that you and we are well prepared for the joint meeting.

If you prefer to fill out the checklist with us, please make an appointment with us.

In any case, it is recommended to read the list carefully so that you can check for missing files or documents at home and write down your questions.

We can only offer you suitable products once your data and preferences have been successfully recorded.

If you wish, your partner or a friend or relative can accompany you to our meeting.

**A. Personal Information**

Mrs.       Mr.      Title:

First and last name:

Address:

Phone:

Email:

Place and date of birth:

Occupation:

Employee       Self employed

Marital status:

Children:       Yes, number:        No

**B. Target of conversation**

**What goals and amounts would you like to achieve with your investment?**

Financing an investment

(Car, marriage, future of children, etc.)

Creation of a reserve

Asset accumulation / investment

Building up retirement provision

Buying a property

Other goals

**How would you like to finance your goal?**

Total budget goal:

Saved / available:

Planned monthly saving rate:

When should be the amount available:

Remarks:

**C. Your financial status**

**Your monthly income and expenses**

Net income (excluding special payments)

Yours:

Spouse / Life Partner:

Other regular income:

Expenses for apartment or house:

Number of cars:

Saving and insurance contributions:

Livelihood and credits:

Other expenses:

**Assets and Liabilities**

Funds available at short notice:

Savings:

Securities:

Number of properties:  Total estimated value:

Insurance surrender value:

Other assets:

Credits and liabilities:

Duration of credits:

**D. How are you protected against risks that threaten your existence?**

Personal liability insurance:  Yes. Amount:   No

Risk life insurance:  Yes. Amount:   No

Professional liability insurance:  Yes. Amount:   No

Occupational Disability Insurance:  Yes. Amount:   No

Health Insurance:  Yes. Amount:   No

Should there be any further existence-threatening risks, do we ask for information whether you are insured against them? e.g. rent loss insurance, practice loss insurance, etc.

Remarks:

**E. What experiences and preferences do you have when it comes to investing?**

There is no such thing as a safe investment with high returns and simultaneous quick availability. Please choose one of the 4 goals that is most important to you:

- Safe Investments
- High Return
- Fast Availability
- or the combination of
- Safe Investments and Fast Availability
- Balanced security and return

Remarks:

**How quickly would you like to have access to the investment amount?**

- The investment amount should be available at all times.
- The investment amount should be available with  months' notice.
- The investment amount should be available without notice of  months
- The investment amount does not have to be early available during the investment or savings period.
- Miscellaneous:

**How safely do you want your money to be invested?**

- The repayment of the entire investment amount or the savings balance must be secured at all times.
- The repayment of the full investment amount or savings must be secured at the end of the term. In case of early disposal, losses are accepted. However, these should not exceed  percent of the investment capital.
- A higher risk will accepted with regard to better income opportunities, return-oriented forms of investment. . Losses at the end of the term or on early sale are accepted. However, these losses should not exceed  percent of the investment capital.
- Miscellaneous:

**How should the interest or the distribution of the yield be made?**

- The yield should be paid out regularly.
- The yield should be automatically reinvested and at the end of the investment period in a sum to be paid out.
- Miscellaneous:

**How secure should the interest or income from your investment be?**

- The amount of the income should be fixed over the entire term.
- The amount of income can vary over the entire term.
- In view of better return opportunities, the risk is accepted in to realize no income in unfavourable market phases.
- Miscellaneous:

**What experience do you have with which investments or product classes? Have you bought such investments several times and are you informed about their opportunities and risks?**

Product class / risk A

Money market funds (EURO), financial treasures, federal treasury bonds, interest-free Treasury notes

Number of transactions in the last 3 years:

Product class / risk B

Bonds from public borrowers and banks (EURO), funds close to the money market, open-ended real estate funds

Number of transactions in the last 3 years:

Product class / risk C

Pension funds, foreign bonds (EURO), guarantee or capital preservation funds with 100% capital guarantee

Number of transactions in the last 3 years:

Product class / risk D

Mixed funds, participation certificates (EURO), option and convertible bonds, bond funds with foreign currency risk

Number of transactions in the last 3 years:

Product class / risk E

Shares, equity funds, partially secured guarantee or value protection funds (risk buffer 20%), reverse convertibles, profit participation certificates in foreign currencies, subscription rights, certificates with the exception of Turbos, other values

Number of transactions in the last 3 years:

Product class / risk F

Warrants, turbo certificates, other financial futures (e.g. options, futures)

Number of transactions in the last 3 years:

**In which forms of investment / product classes would you no longer want to invest in the future, even if you already have experience with them?**

**Are there forms of investment that you would like to find out more about in the interview?**

**Are other selection criteria important to you in addition to security, potential returns and availability?**

- sustainability
- Ethical, social and / or environmental aspects
- Tax incentives
- miscellaneous:

You hereby declare that you have read our data protection declaration (please see: <https://www.academygmbh.de/en/data-protection/>).

- Yes                       No

**After a market analysis, we will contact you shortly and discuss the results and our suggestions with you.**

**Please do not hesitate to contact us if you have any questions or concerns.**

**It is very important to us to understand you correctly and to advise you according to your wishes and needs.**

**Our success is your success and your success is our success.**

**We thank you for your trust.**



## About:

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§ 34f (1) Abs. 1 GewO (**financial investment broker**)

Registration number: D-F-107-PKHX-78

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§ 34d Abs. 1 GewO (**Versicherungsmakler**)

Registrierungsnummer: D-RDN5-0QWHS-42

§ 34f Abs. 1 Satz 1 GewO (**Finanzanlagenvermittler**)

Registrierungsnummer: D-F-107-PKHX-78

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