

| Confidential Questionnaire | | | | | |
|-------------------------------------------------------------------------------------------------|--------------|---------------|---------------------------------------|----------------|----------------------------------------------------------|
| Personal/Background Information | Client 1 | | | Client 2 | |
| Name | | | | | |
| Address | | | | | |
| City, State, Zip | | | | | |
| Primary phone | | | | | |
| Mobile phone | | | | | |
| Email address | | | | | |
| Date of birth | | | | | |
| Marital status | | | | | |
| Date married | | | | | |
| Previously married? (if so, from when to when?) | | | | | |
| Primary contact for purposes of this plan | | | Preferred method (phone, email, etc.) | | |
| Dependents (include names of children and any others who may rely on you for financial support) | Relationship | Date of birth | Currently residing where? | Tax exemption? | Any special needs that might impact your financial plan? |
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| Health & Family History | Client 1 | | | Client 2 | |
| Are you a smoker? | | | | | |
| Is your health currently poor, average or exceptional? | | | | | |
| Have your family members lived short, average or long lives? | | | | | |
| Employment | Client 1 | | | Client 2 | |
| Status (Employed, retired, self-employed, homemaker, or in transition) | | | | | |
| Employer | | | | | |
| Position | | | | | |
| Date started with this employer | | | | | |
| Projected date of retirement or other career change | | | | | |
| Salary | | | | | |
| Bonus/commissions/other employment income | | | | | |
| Self-employment income | | | | | |
| Other income (trust, rental income, alimony, etc.) | | | | | |
| Concerns | | | | | |
| Money | Client 1 | | | Client 2 | |
| Not having a paycheck anymore | | | | | |
| Running out of money | | | | | |
| Suffering investment losses | | | | | |
| Leaving money to others | | | | | |
| Health | Client 1 | | | Client 2 | |
| Cost of health care or long term care | | | | | |
| Current or future health issues | | | | | |
| Dying early (self of significant other) | | | | | |
| Living too long | | | | | |
| Alzheimers or other illness | | | | | |
| Personal and Family | Client 1 | | | Client 2 | |
| Being bored | | | | | |
| Too much time together | | | | | |
| Parents needing care | | | | | |
| Something Else | | | | | |
| Other | | | | | |

| Your Goals | Client 1 | | | | Client 2 | | | |
|-----------------------------------------------------------------------------|---------------------|-----------------------------------------------------------|-----------------------|----------------------------|--------------------------------|------------------------------------------------------|------------------------------------------------------|--|
| Ideal retirement age | | | | | | | | |
| Acceptable retirement age | | | | | | | | |
| Willingness to retire later (very, somewhat, slightly, or not at all) | | | | | | | | |
| Must both retire at same time? | | | | | | | | |
| Financial Goals | Amount | Frequency (e.g. annually, every 5 years, 1 time) | Start date | Ending date | Assumed annual inflation | Priority 10-1 Client #1 (10 highest, 1 lowest) | Priority 10-1 Client #2 (10 highest, 1 lowest) | |
| Basic living expenses/yr. (excluding health care, mortgage & loan pmts) | | Annually | | | | | | |
| Health care costs (out-of-pocket, i.e. premiums, copays, deductibles, etc.) | | Annually | | | | | | |
| Mortgage payments carried into retirement (principal & interest only) | | | | | | | | |
| Other loan payments carried into retirement | | | | | | | | |
| Periodic home maintenance (roof, furnace, hot water heater, etc.) | | | | | | | | |
| Major home improvement(s) | | | | | | | | |
| Car replacements, car #1 | | | | | | | | |
| Car replacements, car #2 | | | | | | | | |
| College #1 | | | | | | | | |
| College #2 | | | | | | | | |
| College #3 | | | | | | | | |
| Gifts and donations | | | | | | | | |
| New home (cost and approximate date) | | | | | | | | |
| Second home (cost and approximate date) | | | | | | | | |
| Wedding #1 | | | | | | | | |
| Wedding #2 | | | | | | | | |
| Wedding #3 | | | | | | | | |
| Major purchase(s) | | | | | | | | |
| Provide care | | | | | | | | |
| Travel in retirement | | | | | | | | |
| Other Goal #1 | | | | | | | | |
| Other Goal #2 | | | | | | | | |
| Your Resources | | | | | | | | |
| Sources of Retirement Income | Whose income is it? | Date income starts | Date income will stop | Gross amount of income/yr. | Inflation assumption (%) | Survivor benefit (if any) | | |
| Social Security #1 | | | | | | | | |
| Social Security #2 | | | | | | | | |
| Pension #1 | | | | | | | | |
| Pension #2 | | | | | | | | |
| Pension #3 | | | | | | | | |
| Pension #4 | | | | | | | | |
| Part-time work #1 | | | | | | | | |
| Part-time work #2 | | | | | | | | |
| Rental income #1 | | | | | | | | |
| Rental income #2 | | | | | | | | |
| Other retirement income #1 | | | | | | | | |
| Other retirement income #2 | | | | | | | | |
| Other retirement income #3 | | | | | | | | |

| Financial Assets (List all financial accounts, including bank, brokerage, mutual fund, 401k, 403b, IRA, Roth IRA and health savings) | Whose account is it? (Client 1, Client 2, Joint, Trust, Other?) | Balance / Value | Type of Account (401k, IRA, taxable account, etc.) | Where held? | Amount of regular recurring additions | Earmark for any specific goal? | |
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| Employer Stock Plans (Including stock options, qualified and nonqualified, restricted stock, and the like) | Whose stock plan is it? (Client 1, Client 2, Joint, Trust, Other?) | Recent vested value | Type of Account (option, restricted shares, etc.) | Stock / Ticker symbol | Expected future grants | Documents provided (recent statement, award letters, plan document, participant brochures) | |
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| Personal Insurance (Including life, health, disability, long-term care, auto, homeowners, umbrella liability, etc.) | Whose insurance is it? | Type of coverage | Insurance Company | Amount of coverage | Annual premium | Cash value (if any) | Group or individual |
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| Real Estate & Personal Property | Whose property is it? (Client 1, Client 2, Joint, Trust, Other?) | Estimated market value | Annual increase or decrease in value | Intended use (personal use, investment, etc.) | Date to be sold | Will this asset be replaced? | |
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| Liabilities (Including mortgages, car loans, student loans, credit cards, etc.; omit any credit cards that are paid-in-full each month.) | Whose liability is it? | Current balance | Interest rate | Monthly payment (principal & interest only) | Maturity date | Lender |
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| Estate Planning Documents (Including wills, living wills, powers of attorney, trusts, etc.) | Whose estate planning document is it? | Date drafted | State in which drafted | Drafting Attorney | Attorney Phone or Email |
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Investment Risk Tolerance

Enter #1 for Client #1's answer and #2 for Client #2's answer.

| | < 1 Year | 2-3 Yrs. | 3-5 Yrs. | 6-10 Yrs. | 11-15 Yrs. | >15 Yrs. | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|---------------------------------------|------------------------------|----------------------------|------------------|----------|--------------|--------------|--------------|
| | I plan on taking money from my investments in.... | | | | | | | | |
| As I withdraw money from these investments, I plan to spend it over a period of... | < 2 Yrs. | 3-5 Yrs. | 6-10 Yrs. | 11-15 Yrs. | >15 Yrs. | | | | |
| When making a long-term investment, I plan to keep the money invested for... | 1-2 Yrs. | 3-4 Yrs. | 5-6 Yrs. | 7-8 Yrs. | >8 Yrs. | | | | |
| From September 2008 through November 2008, stocks lost more than 31% of their value. If I owned a stock investment that lost about 31% of its value in 3 months, I would... (If you actually owned stocks during that period, select the answer that matches your actions at that time.) | Sell all of the remaining investment | Sell some of the remaining investment | Hold onto it & sell nothing. | Buy more of the investment | | | | | |
| Generally, I prefer an investment with little or now ups or downs in value, and I am willing to accept the lower return these investments may make. | I strongly disagree | I disagree | I somewhat agree | I agree | I strongly agree | | | | |
| When the market goes down, I tend to sell some of my riskier investments and put the money into safer investments. | I strongly disagree | I disagree | I somewhat agree | I agree | I strongly agree | | | | |
| Based only on a brief conversation with a friend, coworker, or relative, I would invest in a mutual fund. | I strongly disagree | I disagree | I somewhat agree | I agree | I strongly agree | | | | |
| From September 2008 through October 2008, bonds lost nearly 4% of their value. If I owned a bond investment that lost almost 4% of its value in 2 months, I would... (If you owned bonds during this period, select the answer that matches your actions at that time.) | Sell all of the remaining investment | Sell some of the remaining investment | Hold onto it & sell nothing. | Buy more of the investment | | | | | |
| The chart to the right shows the highest one-year loss and the highest one-year gain on three different hypothetical investments of \$10,000. Given the potential gain or loss in any one year, I would invest my money in... | | | | | | | Investment A | Investment B | Investment C |
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|--------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|------------------------------|-----------------|-----------------------------------|--------------------|-----|
| | Very unstable | Unstable | Somewhat stable | Stable | Very stable | |
| My current and future sources of income (such as salary, Social Security, pension) are... | | | | | | |
| | Very little experience | Some but not much experience | Some experience | A meaningful amount of experience | Lots of experience | |
| When it comes to investing in stock or bond funds (or individual stocks or bonds), I would describe myself as having... | | | | | | |
| | 5% | 10% | 15% | 20% | 25% | 30% |
| What is the worst one-year drop in the value of an investment that you could tolerate without feeling that you had to sell it... | 35% | 40% | 45% | 50% | 55% | 60% |
| | | | | | | |
| What minimum average annual return would you consider acceptable for your investment portfolio over a long period of time, say 10 years or more? | 4% | 5% | 6% | 7% | 8% | 9% |
| | 10% | 11% | 12% | 13% | 14% | 15% |
| | | | | | | |
| Documents to bring to initial meeting | | | | | | |
| Complete statements for all retirement accounts | (including 401k, 403b, IRA, Roth IRA, health savings, etc.) | | | | | |
| Complete statements for all taxable bank and investment accounts | (including bank, brokerage, mutual fund, stock, etc.) | | | | | |
| Recent Social Security statements | (download from SSA.gov) | | | | | |
| Official benefit estimates for all defined benefit pensions | (including traditional pensions, cash balance plans, etc.) | | | | | |
| Statements for all outstanding loans | (excluding credit cards that are paid off each month) | | | | | |
| Recent pay statements | (for understanding of benefit plans and net cash flow) | | | | | |
| Statements for all insurance policies | (bring policies themselves if you are requesting analysis) | | | | | |
| Estate planning documents | (only if requesting services in this area) | | | | | |